



Carnegie-Mellon University  
Software Engineering Institute

Software Acquisition Capability Maturity Model  
(SA-CMM<sup>sm</sup>) Version 1.01

Jack Ferguson

Jack Cooper

Michael Falat

Matthew Fisher

Anthony Guido

John Marciniak

Jordan Matejcek

Robert Webster

December 1996

**DISTRIBUTION STATEMENT A**

Approved for public release;  
Distribution Unlimited

19970128 059

**DEIG QUALITY INSPECTED 1**

Carnegie Mellon University does not discriminate and Carnegie Mellon University is required not to discriminate in admission, employment, or administration of its programs or activities on the basis of race, color, national origin, sex or handicap in violation of Title VI of the Civil Rights Act of 1964, Title IX of the Educational Amendments of 1972 and Section 504 of the Rehabilitation Act of 1973 or other federal, state, or local laws or executive orders.

In addition, Carnegie Mellon University does not discriminate in admission, employment or administration of its programs on the basis of religion, creed, ancestry, belief, age, veteran status, sexual orientation or in violation of federal, state, or local laws or executive orders. However, in the judgment of the Carnegie Mellon Human Relations Commission, the Department of Defense policy of, "Don't ask, don't tell, don't pursue," excludes openly gay, lesbian and bisexual students from receiving ROTC scholarships or serving in the military. Nevertheless, all ROTC classes at Carnegie Mellon University are available to all students.

Inquiries concerning application of these statements should be directed to the Provost, Carnegie Mellon University, 5000 Forbes Avenue, Pittsburgh, PA 15213, telephone (412) 268-6684 or the Vice President for Enrollment, Carnegie Mellon University, 5000 Forbes Avenue, Pittsburgh, PA 15213, telephone (412) 268-2056.

Obtain general information about Carnegie Mellon University by calling (412) 268-2000.

**Technical Report**  
CMU/SEI-96-TR-020  
ESC-TR-96-020  
December 1996

Software Acquisition Capability Maturity Model (SA-CMM<sup>sm</sup>)  
Version 1.01



Jack Ferguson  
Jack Cooper  
Michael Falat  
Matthew Fisher  
Anthony Guido  
John Marciniak  
Jordan Matejcek  
Robert Webster

Software Acquisition Project

Unlimited distribution subject to the copyright

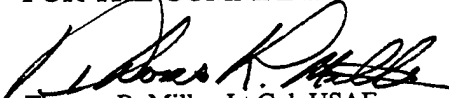
**Software Engineering Institute**  
Carnegie Mellon University  
Pittsburgh, PA 15213

This report was prepared for the

SEI Joint Program Office  
HQ ESC/AXS  
5 Eglin Street  
Hanscom AFB, MA 01731-2116

The ideas and findings in this report should not be construed as an official DoD position. It is published in the interest of scientific and technical information exchange.

FOR THE COMMANDER



Thomas R. Miller, Lt Col, USAF  
SEI Joint Program Office

This work is sponsored by the U.S. Department of Defense.

Copyright © 1996 by Carnegie Mellon University.

Permission to reproduce this document and to prepare derivative works from this document for internal use is granted, provided the copyright and "No Warranty" statements are included with all reproductions and derivative works.

Requests for permission to reproduce this document or to prepare derivative works of this document for external and commercial use should be addressed to the SEI Licensing Agent.

#### NO WARRANTY

THIS CARNEGIE MELLON UNIVERSITY AND SOFTWARE ENGINEERING INSTITUTE MATERIAL IS FURNISHED ON AN "AS-IS" BASIS. CARNEGIE MELLON UNIVERSITY MAKES NO WARRANTIES OF ANY KIND, EITHER EXPRESSED OR IMPLIED, AS TO ANY MATTER INCLUDING, BUT NOT LIMITED TO, WARRANTY OF FITNESS FOR PURPOSE OR MERCHANTABILITY, EXCLUSIVITY, OR RESULTS OBTAINED FROM USE OF THE MATERIAL. CARNEGIE MELLON UNIVERSITY DOES NOT MAKE ANY WARRANTY OF ANY KIND WITH RESPECT TO FREEDOM FROM PATENT, TRADEMARK, OR COPYRIGHT INFRINGEMENT.

This work was created in the performance of Federal Government Contract Number F19628-95-C-0003 with Carnegie Mellon University for the operation of the Software Engineering Institute, a federally funded research and development center. The Government of the United States has a royalty-free government-purpose license to use, duplicate, or disclose the work, in whole or in part and in any manner, and to have or permit others to do so, for government purposes pursuant to the copyright license under the clause at 52.227-7013.

This document is available through Research Access, Inc., 800 Vinial Street, Pittsburgh, PA 15212.  
Phone: 1-800-685-6510. FAX: (412) 321-2994. RAI also maintains a World Wide Web home page. The URL is <http://www.rai.com>

Copies of this document are available through the National Technical Information Service (NTIS). For information on ordering, please contact NTIS directly: National Technical Information Service, U.S. Department of Commerce, Springfield, VA 22161. Phone: (703) 487-4600.

This document is also available through the Defense Technical Information Center (DTIC). DTIC provides access to and transfer of scientific and technical information for DoD personnel, DoD contractors and potential contractors, and other U.S. Government agency personnel and their contractors. To obtain a copy, please contact DTIC directly: Defense Technical Information Center, Attn: FDRA, Cameron Station, Alexandria, VA 22304-6145. Phone: (703) 274-7633.

Use of any trademarks in this report is not intended in any way to infringe on the rights of the trademark holder.

---

---

# Table of Contents

---

Acknowledgements.....	iii
Introduction.....	I-1
Level 1 - The Initial Level.....	L1-1
Level 2 - The Repeatable Level.....	L2-1
Software Acquisition Planning.....	L2-2
Solicitation.....	L2-7
Requirements Development and Management.....	L2-12
Project Management.....	L2-19
Contract Tracking and Oversight.....	L2-24
Evaluation.....	L2-29
Transition to Support.....	L2-35
Level 3 - The Defined Level.....	L3-1
Process Definition and Maintenance.....	L3-2
Project Performance Management.....	L3-9
Contract Performance Management.....	L3-14
Acquisition Risk Management.....	L3-19
Training Program.....	L3-23
Level 4 - The Quantitative Level.....	L4-1
Quantitative Process Management.....	L4-2
Quantitative Acquisition Management.....	L4-10
Level 5 - The Optimizing Level.....	L5-1
Continuous Process Improvement.....	L5-2
Acquisition Innovation Management.....	L5-9
Appendix A: Background Documents.....	A-1
Appendix B: Glossary of Terms.....	B-1
Appendix C: Summary of Key Process Areas.....	C-1

---

---

# Acknowledgments

---

The Software Acquisition Capability Maturity Model<sup>SM</sup> (SA-CMM<sup>SM</sup>) is a collaborative work of authors from government, industry, and the Software Engineering Institute (SEI) with input from many individuals from government, industry, and academia. The authors would first like to thank their parent organizations for the support and resources provided them during the two years of development and testing of the SA-CMM. These organizations are:

U.S. Air Force Electronic Systems Center  
U.S. Army Communications and Electronics Command  
U.S. Naval Air Systems Command  
Defense Information Systems Agency (DISA), Joint Interoperability and Engineering  
Organization  
National Oceanic and Atmospheric Administration  
Kaman Sciences Corporation  
Anchor Software Management

Members of the SA-CMM Steering Group were instrumental in initiating the project, providing management oversight, ensuring high visibility in DoD and industry for the SA-CMM as it was being developed, and obtaining volunteers for early model-based assessments. The members are:

SARCOS, Inc. Peter Kind, Chair	Defense Systems Management College Lyn Dellinger Lt. Col. Jim Craig
U.S. Army S. Wayne Sherer	DISA Donna Leigh
U.S. Navy Marshall Potter	Lockheed Martin Corporation Joan Weszka
U.S. Air Force Lt. Col. Dan Romano Maj. George Newberry	Logicon, Inc. Marilyn Stewart
Office of the Secretary of Defense Cynthia Rand Jim Luciano Steve Johnston Terry Sellers Brenda Zettervall	SEI Thomas Brandt Scott Reed  The MITRE Corporation Judy Clapp

---

<sup>SM</sup> Capability Maturity Model and CMM are Service Marks of Carnegie Mellon University.

---

## Acknowledgments

---

The Office of the Secretary of Defense provided major funding for the genesis of the SA-CMM, providing for both initial trial use and development of training aids. The resulting SA-CMM points to current best practices that can be used in any environment. Applying the SA-CMM to defense acquisition process improvement still requires adherence to DoD directives, which have been streamlined and updated, such as the recently reissued DoD Directive 5000.1 and DoD 5000.2-R. Several recent initiatives also contribute to application of the practices found in the model:

Practical Software Measurement  
Software Program Manager's Network Best Practices  
Integrated Program Management

The Acquisition Deskbook provides additional guidance for Program Managers

The authors would also like to extend thanks to the organizations that agreed to conduct appraisals of themselves based on draft versions of the SA-CMM. By exposing themselves to our scrutiny, they provided valuable data on the model and on how it should be used with other acquisition organizations. The organizations are:

Air Force Missile Warning and Space Surveillance Sensors  
Air Force Mission Planning Systems Program Office  
Navy Cruise Missile Weapon Systems Program Office  
Armament Research, Development, and Engineering Center, Fire Control and Software  
Engineering Division  
DISA Applications Engineering Facility

Many reviewers provided both extensive and in-depth reviews of evolving designs of the SA-CMM. Their insights were especially valuable and were seriously considered by the authors since they represented vast experience outside the author team.

We are also deeply in debt to the individuals whose editorial and administrative efforts made possible the various editions of the model for review and use. They are: Kathy Jackson of Anchor Software Management, and Tanya Jones, Bob Lang, Jim Main, Jodi Horgan, Larry Jones, and Bill Pollak of the SEI.

---

# Introduction

---

Government and industry have the need to assess the maturity of their internal software acquisition processes. The purpose of assessing the maturity of organizations' software acquisition processes is to identify areas needing improvement. In order for organizations to make improvements, they must know the ultimate goal and what is required to achieve that goal. Additionally, progress toward achieving the goal must be measurable. A capability maturity model provides the framework needed to facilitate the desired improvement. The Software Acquisition Capability Maturity Model (SA-CMM) has been developed to provide such a framework.

The SA-CMM must remain viable. After this model has been used by a variety of acquisition organizations, it is anticipated that a revision will be published. This new version should incorporate the results of lessons learned from the use of Version 1.0, include changes necessary to stay abreast of the evolving state-of-the-practice in software acquisition, and improve the understandability and applicability of the SA-CMM. Therefore, constructive comments resulting from the use of Version 1.0 of the SA-CMM are not only welcome but encouraged.

## The Context of the SA-CMM

The experience of the Software Engineering Institute in developing the Capability Maturity Model for Software (SW-CMM) was directly applicable to developing the SA-CMM. The SW-CMM describes the developer's (contractor's) role while the SA-CMM describes the buyer's (acquirer's) role in the software acquisition process. In the SA-CMM software acquisition begins with the process of defining a system need. Some activities performed by the acquisition organization may pre-date the establishment of a project office. The SA-CMM includes certain pre-contract award activities, such as preparing the solicitation package, developing documentation requirements, and participating in source selection. During the engineering phase of the project, the two models are parallel in their treatment of the processes involved. The SA-CMM ends when the contract for software products and services is concluded.

Although the SA-CMM is logically consistent with the SW-CMM, it is not a mirror image of the SW-CMM. The SW-CMM addresses the software engineering (development) process while the SA-CMM addresses the software acquisition process. These are two different processes with different goals and different activities. Consequently, the groupings (key process areas) of the SA-CMM are different. That difference does not mean the two models are incompatible. They do have the same architecture, design, format, and appraisal methodology, as well as other similarities. The two models can be used in parallel on the same project since they address the same requirements, proceed on the same schedule, and pursue the same objective - high quality deliverables. The two models are synergistic.



---

## Introduction

---

The SA-CMM identifies key process areas for four of its five levels of maturity. The key process areas state the goals that must be satisfied to accomplish each level of maturity. In other words, progress is made in stages or steps. The levels of maturity and their key process areas thus provide a roadmap for achieving higher levels of maturity.

Typically a portion of the goals or activities of some key process areas is satisfied/performed at a lower level. However, a key process area cannot be achieved until all of its goals have been satisfied. A maturity level is achieved by mastering *all* of its key process areas. Once a maturity level is achieved, the model requires that the satisfaction of all lower level goals is maintained.

The stages of the model are complementary and flow upward. For example, at Level 2 some of the activities of Contract Tracking and Oversight will result in corrective actions (a reactive approach to defects). This process grows and matures, in Level 3 the activities of Contract Performance Management are performed to identify and prepare for defects before they occur (a proactive approach). The key process area Contract Performance Management grows and matures to become Quantitative Acquisition Management at Level 4 when the process(es) is adjusted based on quantitative data. At Level 5, Continuous Process Improvement uses quantitative data to optimize process performance (optimizing approach).

The SA-CMM is designed to be generic enough for use by any government or industry organization, regardless of size, acquiring software. When applying the SA-CMM to a particular organization, translations may need to be made (in addition to tailoring the model to fit a specific acquisition). The SA-CMM addresses an "organization" which is the parent of the "acquisition organization." The acquisition organization specializes in acquisition and may be responsible for more than one project. The project team is the entity that has the responsibility for executing the specific acquisition. The project team is supported by "other (affected) groups" (functionals, matrix, etc.) in the conduct of the acquisition. In the SA-CMM, the terms "group," "team," "office," and similar terms may indicate situations where the specific implementation may vary from a single individual assigned part-time, to several part-time individuals assigned from other organizations, to several individuals dedicated full-time. The structure of the model must be mapped onto the particular situation where the model is being applied. Also, the terminology of the model has been made as generic as possible and must be mapped onto the local situation, some examples are "contracting official," "affected groups," and "domain."

The SA-CMM should be interpreted in the context of the needs of the organization; just because something is in the SA-CMM does not mean it should be applied automatically. Effective and efficient software acquisition processes are critical to successful process improvement, but the quality of their output can only be determined in the context of the business needs of the particular organization.

Use of the SA-CMM is not limited to situations where software is being acquired under formal contract. It can be used by any organization acquiring software or software-related services. For this usage, the term "contractor" refers to the organization performing the software engineering

effort. The term "project team" refers to the individuals within the acquiring organization who have an assigned software acquisition responsibility, and the term "contract" refers to the agreement between the organizations.

The SA-CMM applies to the acquisition of all types of embedded and stand-alone software applications, including those where commercial-off-the-shelf (COTS) and non-developmental item (NDI) software are being acquired, either as a part of a system or separately. Naturally, the model may have to be tailored to fit the specific circumstances.

The SA-CMM is appropriate for use throughout the entire software life cycle. During the life cycle of a system, many individual acquisitions can occur; an acquisition can occur in the system's operational and support phase as well as for its initial development. In cases where products and services for enhancing or reengineering the software are being acquired, the software support organization takes on the role of the acquirer. Thus, the model is applicable.

The SA-CMM accommodates the software that is acquired as a part of a total system acquisition. It does not specifically address the "system acquisition" process; however, it is in harmony with that process.

Every acquisition project germinates with a requirement, albeit at a very high level. As the acquisition begins to form, more requirements are identified and refined. This evolution proceeds and the set of requirements continues to grow. By the time the solicitation package is developed, a significant set of software technical and non-technical requirements exists. For purposes of the SA-CMM, these requirements must be baselined (managed and controlled), not frozen. As software requirements further evolve (e.g., allocation, elaboration, and refinement), they are incorporated into the requirements baseline, and managed and controlled. Management and control of the software requirements remain the acquirer's responsibility even though the contractor may be involved in the requirements development process.

A project should have established baselines for the software's performance (technical) requirements, for the cost of the software being acquired, and for the schedule of the acquisition project. The SA-CMM recognizes that, historically, project managers may not have had the latitude to make trade-offs in these parameters to optimize the project. Consequently, the model recognizes the necessity of giving the project manager the flexibility to adjust one of these baselines for control and use in making trade-offs, thereby enhancing the probability for a successful acquisition.

The SA-CMM is based on the expectation that a mature organization and its projects will do a thorough job of planning an acquisition. The Software Acquisition Planning key process area addresses the planning process that must take place as an adjunct to managing the software acquisition project. Each of the remaining key process areas addresses a planning process as one of the area's activities. How to document this planning is the option of the acquisition organization and the project team. The SA-CMM does identify two specific plans - the Project Management Plan and the Software Acquisition Risk Management Plan. The method of

documenting these two specific plans is also the option of the acquisition organization and the project team. The resulting project planning documentation need not be any more extensive than that of any well-managed software acquisition project.

## **The Architecture of the SA-CMM**

The SA-CMM defines five levels of maturity. Each maturity level (except Level 1) indicates process capability and contains key process areas. Key process areas contain goals and five common features. The common features are attributes that indicate whether the implementation and institutionalization of a key process area can be effective, repeatable, and lasting. The five common features are listed below:

***Commitment to perform.*** Commitment to perform describes the actions that the organization must take to establish the process and ensure that it can endure. Commitment to perform typically involves establishing organizational policies and management sponsorship.

***Ability to perform.*** Ability to perform describes the preconditions that must exist in the project or organization to implement the software acquisition process competently. Ability to perform typically involves resources, organizational structures, and training.

***Activities performed.*** Activities performed describes the roles and procedures necessary to implement a key process area. Activities performed typically involves establishing plans and procedures, performing the work, tracking it, and taking appropriate management actions.

***Measurement and analysis.*** Measurement and analysis describes the need to measure the process and analyze the measurements. Measurement and analysis typically includes examples of the measurements that could be taken to determine the status and effectiveness of the activities performed.

***Verifying implementation.*** Verifying implementation describes the steps to ensure that the activities are performed in compliance with the process that has been established. Verifying implementation typically encompasses reviews by management.

## **The Maturity Levels of the SA-CMM**

The acquisition organization management must increase its involvement, leadership, and discipline as it attempts to achieve each higher level of maturity. The following describes the five maturity levels of the SA-CMM, highlighting the primary process improvements made at each level.

1) ***Initial*** - The software acquisition process is characterized as ad hoc, and occasionally even chaotic. Few processes are defined and success depends on individual effort. For an organization to mature beyond the initial level, it must install basic management controls to instill self-discipline.

2) *Repeatable* - Basic software acquisition project management processes are established to plan all aspects of the acquisition, manage software requirements, track project team and contractor performance, manage the project's cost and schedule baselines, evaluate the products and services, and successfully transition the software to its support organization. The project team is basically reacting to circumstances of the acquisition as they arise. The necessary process discipline is in place to repeat earlier successes on projects in similar domains. For an organization to mature beyond the level of self-discipline, it must use well-defined processes as a foundation for improvement.

3) *Defined* - The acquisition organization's software acquisition process is documented and standardized. All projects use an approved, tailored version of the organization's standard software acquisition process for acquiring their software products and services. Project and contract management activities are proactive, attempting to anticipate and deal with acquisition circumstances before they arise. Risk management is integrated into all aspects of the project, and the organization provides the training required by personnel involved in the acquisition. For an organization to mature beyond the level of defined processes, it must base decisions on quantitative measures of its processes and products so that objectivity can be attained and rational decisions made.

4) *Quantitative* - Detailed measures of the software acquisition processes, products, and services are collected. The software processes, products, and services are quantitatively and qualitatively understood and controlled.

5) *Optimizing* - Continuous process improvement is empowered by quantitative feedback from the process and from piloting innovative ideas and technologies. Ultimately an organization recognizes that continual improvement (and continual change) is necessary to survive.

## **Principles Governing the Interpretation of the SA-CMM**

*Generic Model.* The SA-CMM is a generic model for broad usage. In a specific context, implementation and improvement needs may vary.

*Organizational Improvement.* The SA-CMM is a model for organizational improvement. The SA-CMM focuses on building the process capability of an organization.

*Improvement Roadmap.* The activities of the SA-CMM describe the characteristics of a software acquisition process that one would normally expect to see at each maturity level. The SA-CMM does not prescribe how an organization is to improve its processes; it describes normative practices of organizations at five levels of maturity. The maturity levels prescribe an ordering of how to prioritize process improvement actions.

*Key Process Areas.* The SA-CMM describes key process areas and activities; it is not exhaustive, and other process areas and activities may exist.

---

## Introduction

---

*Comprehensiveness.* The SA-CMM does not address all the factors that impact software acquisition. Examples of excluded topics are systems engineering, human resources, and technology.

*Process Management.* The quality of a software product or service is largely governed by the quality of the software processes used to develop, acquire, or maintain it.

*Process Improvement.* Any process can be improved; continuous improvement is necessary to increase efficiency and maintain competitiveness in a changing environment.

*No One Right Way.* There is not "one right way" to implement a software acquisition process. The SA-CMM is not engraved in stone. Also, except in a few carefully chosen instances, the SA-CMM does not mandate how the software acquisition process should be implemented or who should perform an action; it describes what characteristics the software acquisition process should possess.

*Technology.* The SA-CMM is technology independent. No specific tools, methods, or technologies are mandated by the SA-CMM. Appropriate tools, methods, and technologies should be made available to support the process.

*Professional Judgement.* Professional judgement must be applied when interpreting, for a particular organization, the activities of the SA-CMM. The SA-CMM should be tailored to fit the organization; the organization should not be restructured to reflect the SA-CMM.

*The Competence Principle.* The competence of the people doing the work is a major factor in project performance and organizational success. (Competence includes knowledge of the application domain, software acquisition methods, and quantitative methods, and having interpersonal and problem solving skills.)

## SA-CMM Synopsis

Level	Focus	Key Process Areas
5 Optimizing	<i>Continuous process improvement</i>	Acquisition Innovation Management Continuous Process Improvement
4 Quantitative	<i>Quantitative management</i>	Quantitative Acquisition Management Quantitative Process Management
3 Defined	<i>Process standardization</i>	Training Program Acquisition Risk Management Contract Performance Management Project Performance Management Process Definition and Maintenance
2 Repeatable	<i>Basic project management</i>	Transition to Support Evaluation Contract Tracking and Oversight Project Management Requirements Development and Management Solicitation Software Acquisition Planning
1 Initial	<i>Competent people and heroics</i>	

This page intentionally left blank.

---

---

## **Level 1 - The Initial Level**

---

At the Initial Level, the project team typically does not provide a stable environment for acquiring software. The project team is staffed based on the availability of individuals, resulting in a random composition of acquisition skills. Software acquisition does not receive adequate management visibility. The project is pursued in an ad hoc manner.

There are no key process areas at Level 1.



This page intentionally left blank.

---

## **Level 2 - The Repeatable Level**

---

At the Repeatable Level, the project team is knowledgeable and supportive of promulgated policies, regulations, and standards that relate to its project and makes a dedicated attempt to comply with them. Software acquisition management plans and procedures are established by the project team. The planning and tracking of new projects are based on experience with similar projects. An objective in achieving Level 2 is to stabilize software contract management processes, allowing project teams to repeat successful practices employed on earlier projects.

Level 2 project teams have instituted basic software acquisition management practices and controls. All members of the team are committed to complying with project plans, required policies, regulations, and standards. Project managers track costs, schedules, requirements, and performance of the project. Problems in meeting commitments are identified when they arise. Software requirements are baselined and the content is controlled. Software documentation is evaluated for compliance with specified requirements. Project teams work with their prime contractors, and any subcontractors, to establish a stable, cooperative working environment. Project teams track the performance of the contractor for adherence with project plans and for ensuring that contractual requirements are being satisfied.

The process capability of Level 2 acquisition organizations can be summarized as being stable for planning and tracking the software acquisition because documented procedures provide a project environment for repeating earlier successes.

Level 2 key process areas are:

- Software Acquisition Planning
- Solicitation
- Requirements Development and Management
- Project Management
- Contract Tracking and Oversight
- Evaluation
- Transition to Support

---

# Software Acquisition Planning

---

## *a key process area for Level 2: Repeatable*

---

The purpose of Software Acquisition Planning is to ensure that reasonable planning for the software acquisition is conducted and that all elements of the project are included.

Software Acquisition Planning involves the preparation for software-related areas in system level planning such as early budgetary action, schedule determination, acquisition strategy, risk identification, and software requirements definition. There are other traditional software acquisition planning activities that must be performed in the context of the system as a whole and in coordination with the project team (e.g., system requirements development, hardware/software partitioning, system level software requirements allocation, and solicitation management). Software Acquisition Planning also involves planning all aspects of the software acquisition project. Software acquisition planning documentation provides for implementation of all software acquisition-related policies.

Software acquisition planning begins with the earliest identification of a role for software in the system to be acquired. The process starts when reasonable resources are assigned to form a project team for the acquisition, independent of whether or not the team is formally constituted as an organizational entity. Software acquisition planning provides for conducting and documenting software acquisition planning activities and participation in system level planning activities as appropriate.

---

## Goals

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>Software acquisition planning documents are prepared early in the acquisition process and prior to contractual actions to acquire software products and services.</b> |
| <b>Goal 2</b> | <b>Software acquisition plans encompass the total software acquisition effort.</b>   |

---

## Commitment to perform

---

- |                     |   |
|---------------------|---|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for planning the software acquisition.</b> |
|---------------------|---|

This policy typically specifies that:

1. The implementation of all software acquisition-related policies is provided for in the plans.

2. The plans address all software-related areas of the acquisition.

Some examples of software-related areas include:

software acquisition planning,  
project management,  
solicitation,  
requirements development and management,  
reuse,  
contract tracking and oversight,  
evaluation, and  
transition to support.

3. A review process is established for resolving issues, facilitating acquisition decisions, and focusing on critical issues such as affordability and risk.
4. Responsibility and accountability are clearly established for the project.
5. Software acquisition planning documentation is prepared prior to solicitation activities.
6. Software acquisition planning documentation is maintained current.

**Commitment 2 Responsibility for software acquisition planning activities is designated.**

## **Ability to perform**

---

**Ability 1 The acquisition organization has experienced software acquisition management personnel.**

Experience means, for example, having participated in software acquisition management planning on at least one project, having a minimum of five years acquisition experience, having knowledge of the software's application domain, and having knowledge of current software engineering processes and technology.

**Ability 2 Adequate resources are provided for software acquisition planning activities.**

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

## Activities performed

- Activity 1**      **Software acquisition planning personnel are involved in system acquisition planning.**
- Activity 2**      **The software acquisition strategy for the project is developed and documented.**
- The strategy typically includes considerations of:
1. The objectives of the acquisition.
  2. Project constraints, such as funding and schedules.
  3. Available and projected technologies, such as reuse, NDI, and COTS.
  4. Software acquisition methods.
  5. Potential contract types and terms.
  6. End user considerations.
  7. Consistency with the system acquisition strategy.
  8. Risk identification.
- Activity 3**      **The project's software acquisition planning is documented and the planning documentation is maintained over the life of the project.**

Planning documentation may be in a single document or in separate documents depending on the specific needs of the project.

Software acquisition planning documentation typically includes:

1. The software-related areas of the project.

Some examples of software-related areas include:

software risk identification and tracking,  
project management,  
solicitation,  
requirements development and management,  
reuse,  
contract tracking and oversight,  
evaluation, and  
transition to support.

2. All relevant policy for the software-related areas of the acquisition.

3. The tasks to be performed.
4. The required software acquisition resources.
  - ▶ Resources include:
    - \* Funding.
    - \* Staff.
    - \* Equipment.
    - \* Tools.
5. The roles and responsibilities of the groups involved in the project.

Typically roles and responsibilities include:

end user representation and involvement in the software acquisition, interface with system-level activities, and project team's relationship with and responsibilities to the acquisition organization.

6. The project's strategic objectives.
7. A master schedule of software acquisition milestones.
8. Measurements to determine the progress of the software acquisition.

#### Activity 4

#### **Life cycle support of the software is included in software acquisition planning documentation.**

Life cycle support provisions typically include:

1. Identifying adequate facilities and resources for the software support organization.
2. Providing for transitioning the software from acquisition to operation and to the software support organization.
3. Providing for long-term growth and supportability of the system.

#### Activity 5

#### **Life cycle cost and schedule estimates for the software products and services being acquired are prepared and independently reviewed.**

In this instance, "independently reviewed" means a review by an individual(s) other than the author(s) of the cost and schedule estimates.

---

## Measurement and analysis

---

**Measurement 1** Measurements are made and used to determine the status of the software acquisition planning activities and resultant products.

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of software acquisition planning,  
the software acquisition strategy, and life cycle cost estimates; and  
completion of milestones.

---

## Verifying implementation

---

**Verification 1** Software acquisition planning activities are reviewed by acquisition organization management on a periodic basis.

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, software acquisition planning activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2** Software acquisition planning activities are reviewed by the project manager on both a periodic and event-driven basis.

---

## Solicitation

---

### *a key process area for Level 2: Repeatable*

---

The purpose of Solicitation is to prepare a solicitation package that identifies the needs of a particular acquisition and to select a contractor who is best capable of satisfying the requirements of the contract.

Solicitation involves planning and performing the activities necessary to issue the solicitation package, preparing for the evaluation of responses, conducting the evaluation, conducting negotiations, and awarding the contract. Solicitation ends with contract award.

---

### Goals

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>The selection official selects a contractor who is qualified to satisfy the contract's requirements for the project's software-related products and services.</b> |
| <b>Goal 2</b> | <b>Solicitation activities are conducted in a manner compliant with relevant laws, regulations, policies, and guidance.</b>  |
| <b>Goal 3</b> | <b>The software portion of the solicitation package satisfies the needs of the acquisition.</b>  |

---

### Commitment to perform

---

- |                     |   |
|---------------------|---|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for the conduct of the software portion of the solicitation.</b> |
|---------------------|---|

This policy typically specifies that:

1. Planning for solicitations is documented.
2. Planning for proposal evaluation activities is documented.
3. Solicitations are conducted in a manner compliant with applicable laws, regulations, policies, and guidance for the solicitation.
4. Solicitation activities are tailored based on the cost and/or complexity of the software item or service being acquired.



5. The contract type (e.g., fixed-price, cost-reimbursement) is chosen based on the perceived risk of successfully delivering the required items while satisfying the cost and schedule requirements of the contract.

Normally, the less the risk to the offeror, the more rigid the contract type. For example, a fixed-price contract type would be suitable for a commodity buy while a cost-reimbursement contract type is more suitable for a research and development contract.

6. A selection official is designated for each solicitation.

Generally, selection officials are chosen based on their authority to commit the organization to a specified dollar amount which is equal to or greater than the estimated value of the solicitation.

7. The selection official for a solicitation has the ultimate responsibility for the conduct of the solicitation and for selecting the winning offeror.

**Commitment 2** Responsibility for the software portion of the solicitation is designated.

**Commitment 3** A selection official has been designated to be responsible for the selection process and the decision.

## Ability to perform

**Ability 1** A group that is responsible for coordinating and conducting solicitation activities exists.

**Ability 2** Adequate resources are provided for solicitation activities.

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

**Ability 3** Individuals performing solicitation activities have experience or receive training.

Experience means, for example, having participated in a software acquisition management role on at least one project, having knowledge in the domain of the application being acquired, and having familiarity of current software engineering processes, products, technology, and costing methodologies and tools. Additionally, some individuals must have experience in conducting solicitation activities.

**Ability 4**

**The groups supporting the solicitation (e.g., end user, systems engineering, software support organization, and application domain experts) receive orientation on the solicitation's objectives and procedures.**

## **Activities performed**

**Activity 1**

**The project team performs its activities in accordance with its documented solicitation plans.**

The plans typically cover:

1. The objectives of the solicitation.
2. Identification of the contents of the solicitation package such as:
  - ▶ The software technical requirements.

Some examples of software technical requirements include:

functional requirements,  
external interfaces,  
performance requirements,  
architecture constraints (e.g., meeting product line requirements),  
design constraints,  
quality attributes (reliability, security, maintainability, usability, etc.),  
reserve and growth requirements, and  
standards.

- ▶ The statement of work, including software-related tasks.

Some examples of software-related tasks include:

engineering tasks,  
evaluation tasks,  
support tasks,  
documentation tasks, and  
life cycle planning tasks.

- ▶ The contract documentation and information recording requirements.

Some examples of contract documentation requirements include:

specifications;  
test plans, procedures, reports;  
study reports;  
configuration management plans, procedures, and reports;  
administrative, financial, and management reports; and  
project-specific products and reports.

- ▶ The contract form (e.g., completion or term), contract type (e.g., fixed-price, cost-reimbursement), incentives, and a list of deliverable supplies and services.
- ▶ Information on contract acceptance procedures, specific acceptance criteria, and payment.
- ▶ Additional information guiding contractor performance during the contract, including warranty provisions and required data rights.
- ▶ Guidance on how the offerors are to respond, how the responses will be evaluated, and any additional administrative requirements such as socioeconomic program compliance.
- ▶ Documentation requirements for the offerors to submit with their response.

Some examples of required submissions include:

a software engineering plan describing how offerors will carry out the software-related tasks specified in the solicitation package;  
a risk management plan describing how they will identify and manage risks associated with the software-related tasks called out in the solicitation package;  
identification of the measurements to be used in the project and made available to the project office;  
a statement of the offeror's planned use of NDI, COTS, and non-deliverable software, including any limitations on data rights;  
visibility for software engineering task progress and costs at a level appropriate for the contract type and commensurate with the degree of risk related to the software acquisition;  
the software-related work to be performed by subcontractors; and  
providing support for evaluation and acceptance.

3. The participants, responsibilities, processes, methodologies, techniques, and schedules that will be followed in the conduct of the solicitation.

In some solicitations a determination of the offeror's ability to perform the proposed tasks, over and above the evaluation of the material submitted, is appropriate. The value of the procurement, the cost of the determination, the staff resources available to perform the determination, and the development risk are some of the items that should be taken into account in determining the appropriateness of a determination effort.

4. A process for managing and controlling the solicitation documents.

*Refer to Activity 3 of the Software Acquisition Planning key process area.*

## Activity 2

### **The project team performs its activities in accordance with its documented proposal evaluation plans.**

The proposal evaluation plans typically contain:

1. A description of the proposal evaluation organization structure, including the participants and their responsibilities.
2. Proposed pre-evaluation activities.
3. A summary of the acquisition strategy.
4. A statement of the proposal evaluation factors and their relative importance.

The proposal evaluation factors for software should contain factors central to the success of the software item or service being acquired.

5. A description of the proposal evaluation process, methodology, and techniques to be used.
6. A schedule of significant proposal evaluation milestones.

**Activity 3**      **Cost and schedule estimates for the software products and services being sought are prepared.**

**Activity 4**      **Software cost and schedule estimates are independently reviewed for comprehensiveness and realism.**

In this instance, "independently reviewed" means a review by an individual(s) other than the author(s) of the cost and schedule estimates.

**Activity 5**      **The project team takes action to ensure the mutual understanding of software requirements and plans prior to contract award.**

## Measurement and analysis

**Measurement 1**      **Measurements are made and used to determine the status of the solicitation activities and resultant products.**

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of solicitation planning, the statement of work, contract specifications, evaluation plans, and cost estimates; and  
completion of milestones.

## Verifying implementation

**Verification 1**      **Solicitation activities are reviewed by the designated selection official or acquisition organization management on a periodic basis.**

The primary purpose of these reviews by the selection official or acquisition organization management is to provide awareness of, and insight into, the solicitation activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2**      **Solicitation activities are reviewed by the project manager on both a periodic and event-driven basis.**

# Requirements Development and Management

## *a key process area for Level 2: Repeatable*

The purpose of Requirements Development and Management is to establish a common and unambiguous definition of software-related contractual requirements that is understood by the project team, end user, and the contractor. Software-related contractual requirements consist of technical requirements (system requirements allocated to software) and non-technical requirements (contractual agreements, conditions, and terms affecting the software portion of the acquisition). This key process area is divided into two subprocesses; development of software-related contractual requirements and the management of these requirements for the duration of the acquisition.

Software requirements development involves those activities in which system level requirements are decomposed and allocated to software. To ensure software is appropriately addressed during system requirements definition and solicitation package preparation, the project team participates with the overall system acquisition team. This activity often involves direct participation from the end user to ensure that system-level requirements are well understood.

Software requirements management involves establishing and maintaining agreement among the project team, including the end user, and contractor with respect to the software-related contractual requirements. It involves baselining the software requirements and controlling all subsequent requirements changes. The contract and this key process area address both technical and non-technical software requirements.

Requirements development and management begins with the translation of operational or end user requirements into solicitation documentation (e.g., specifications) and ends with the transfer of responsibility for the support of the software products.

Software-related contractual requirements define the scope of the software effort. Software-related contractual requirements are incorporated into software project plans, activities, and products in an orderly manner. Requirements management ensures that software requirements are unambiguous, traceable, verifiable, documented, and controlled.

## Goals

- |               |   |
|---------------|---|
| <b>Goal 1</b> | <b>Software-related contractual requirements are developed and maintained in conjunction with the end user and other affected groups.</b> |
|---------------|---|

- Goal 2**      **Software-related contractual requirements are unambiguous, traceable, and verifiable.**
- Goal 3**      **The software-related contractual requirements baseline is established and managed.**

## **Commitment to perform**

---

- Commitment 1**    **The acquisition organization has a written policy for establishing and managing the software-related contractual requirements.**

1. This policy typically specifies that:

- ▶ Software-related contractual requirements are documented.
- ▶ Software-related contractual requirements are reviewed by:
  - \* Project management.
  - \* Other affected groups.

Some examples of affected groups include:

end user,  
project system engineering,  
project evaluation,  
project quality assurance,  
software support organization, and  
project configuration and data management.

- ▶ Changes to the software-related contractual requirements are reflected in software acquisition plans, work products, services, and activities.
- ▶ A change control mechanism exists to manage and control changes to the software-related contractual requirements.

"Managed and controlled" implies that the software requirements are baselined, the version of the software requirements at a given time (past or present) is known (i.e., version control), and the changes are incorporated in a controlled manner (i.e., change control).

2. Software requirements include:

- ▶ Non-technical requirements (e.g., the contractual agreements, conditions, and terms) that affect and determine the activities of the software acquisition project.

Some examples of contractual agreements, conditions, and terms include:

products to be delivered,  
data rights for delivered COTS/NDI,  
delivery dates, and  
milestones with exit criteria.

- Technical requirements for the software.

Some examples of technical requirements include:

functional requirements,  
performance requirements,  
quality requirements,  
design constraints,  
architectural constraints,  
reuse requirements,  
supportability requirements, and  
external interface requirements.

**Commitment 2** Responsibility for requirements development and management is designated.

## Ability to perform

**Ability 1** A group that is responsible for performing requirements development and management activities exists.

**Ability 2** Adequate resources are provided for requirements development and management activities.

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

Tools to support the activities for managing software-related contractual requirements may include:

spreadsheet programs,  
configuration management tools,  
traceability tools,  
lexical analysis tools,  
specification modeling tools,  
evaluation management tools, and  
prototyping tools.

**Ability 3**

**Individuals performing requirements development and management activities have experience or receive training.**

Experience means, for example, having participated in a software acquisition management role on at least one project and having experience in the domain of the application being acquired.

Some examples of training include:

the methods, standards, and procedures used by the project;  
the application domain; and  
architectures.

## **Activities performed**

---

**Activity 1**

**The project team performs its activities in accordance with its documented requirements development and management plans.**

The plans typically cover:

1. The objectives of the project team's requirements development and management activities.
2. The activities to be performed, including requirements definition.
3. Identification of the groups, and intergroup coordination, associated with requirements development and management activities.

Some examples of groups include:

project system engineering,  
project cost analysis,  
project configuration and data management,  
project evaluation,  
product-line management,  
project quality assurance, and  
end user.

4. Procedures for requirements development, including planning, elicitation, analysis, and verification.
5. Procedures for requirements management, including baseline establishment, change control, and status reporting.
6. Procedures to define attributes that describe a "satisfactory" requirement.



Some examples of criteria for satisfactory requirements are:

correctness,  
completeness,  
consistency,  
clarity,  
non-ambiguity,  
verifiability, and  
feasibility.

7. Procedures for impact analysis of changes to requirements or introduction of new requirements, including performance, cost, and schedule.
8. Resource requirements and schedules to perform requirements development and management activities.

*Refer to Activity 3 of the Software Acquisition Planning key process area.*

#### Activity 2

**The project team develops and baselines the software-related contractual requirements and places them under change control early in the project, but not later than release of the solicitation package.**

1. Baseline software-related contractual requirements are documented.
2. Software-related contractual requirements are reviewed for completeness, understandability, and priority.
3. Acceptance criteria for software-related contractual requirements are established and controlled.

#### Activity 3

**The project team appraises system requirements change requests for their impact on the software being acquired.**

#### Activity 4

**The project team appraises all changes to the software-related contractual requirements for their impact on performance, architecture, supportability, system resource utilization, and contract schedule and cost.**

1. The impact on existing commitments is determined and changes in commitments are negotiated as appropriate.

Some examples of changes include:

changes to commitments made to individuals and groups external to the acquisition organization and  
changes to commitments within the acquisition organization.

2. Changes to software acquisition plans, work products, services, or activities resulting from changes in software-related contractual requirements are:
  - ▶ Identified.
  - ▶ Appraised for potential impact.
  - ▶ Analyzed for risk.
  - ▶ Documented.
  - ▶ Communicated to the affected groups and individuals.
  - ▶ Tracked to completion.

**Activity 5**

**Bi-directional traceability between the software-related contractual requirements and the contractor's software work products and services is maintained throughout the effort.**

Some examples of mechanisms providing this traceability include:

the project team itself performs and maintains this traceability and  
the project team tasks the contractor (or other) to perform and maintain the traceability.

## Measurement and analysis

**Measurement 1 Measurements are made and used to determine the status of the requirements development and management activities and resultant products.**

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of requirements development and management planning, the initial software requirements, and baselining the software requirements;  
number of change requests appraised; and  
completion of milestones.

## Verifying implementation

---

- Verification 1**    **Requirements development and management activities are reviewed by acquisition organization management (and the contractor) on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, requirements development and management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

- Verification 2**    **Requirements development and management activities are reviewed by the project manager on both a periodic and event-driven basis.**

# Project Management

## *a key process area for Level 2: Repeatable*

The purpose of Project Management is to manage the activities of the project office and supporting contract(s) to ensure a timely, efficient, and effective software acquisition.

Project Management involves planning, organizing, staffing, directing, and controlling project office activities, such as determining project tasks, estimating software size and cost, scheduling activities and tasks, training, leading the assigned personnel, and accepting software products and services.

Project management begins when the project office is officially chartered and terminates when the acquisition is completed.

### Goals

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>Project management activities provide effective management control of the software acquisition project.</b>   |
| <b>Goal 2</b> | <b>The performance, cost, and schedule objectives of the software acquisition project are defined, measured, and controlled throughout the software acquisition.</b> |
| <b>Goal 3</b> | <b>Problems discovered during the software acquisition are managed and controlled.</b>   |

### Commitment to perform

- |                     |   |
|---------------------|---|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for execution of the software project.</b> |
|---------------------|---|

This policy typically specifies that:

1. The software-related requirements are used as the basis for planning the software acquisition project.

*Refer to Activity 1 of the Requirements Development and Management key process area.*

2. The software acquisition project's commitments are coordinated among the affected managers.
3. Involvement of other affected groups in the software acquisition activities is negotiated and documented.

Some examples of affected groups include:

operational test group,  
software engineering group, and  
end user representatives.

4. Acquisition organization management reviews all software-related project commitments made to individuals and groups external to the organization.
5. The project's software acquisition plans are managed and controlled.
6. A corrective action system is to be established by the project team to record problems and issues discovered.

**Commitment 2 Responsibility for project management is designated.**

## **Ability to perform**

---

**Ability 1 A team that is responsible for performing the project's software acquisition management activities exists.**

**Ability 2 Adequate resources for the project team and matrix support persons are provided for the duration of the software acquisition project.**

1. The project office allocates sufficient funds for internal operations, matrix support, contractual efforts, and specific mission areas of responsibility.
2. The project office is staffed with the proper number and kinds of people to address internal responsibilities and matrix support needed to accomplish the project's activities.
3. The project office plans for and provides the equipment needed to accomplish the project's activities.
4. The project office plans for and provides the tools needed to accomplish the project's activities.

**Ability 3 When project trade-offs are necessary, the project manager is permitted to alter either the performance, cost, or schedule software acquisition baseline.**

**Ability 4                      The project team and matrix support individual(s) have experience or receive training in project software acquisition management activities.**

Experience means, for example, having participated in a software acquisition management role on at least one project and having experience in the domain of the application being acquired. Additionally, some individuals should have general management skills as well as budgeting and scheduling experience.

## Activities performed

---

**Activity 1                      The project team performs its activities in accordance with its documented software acquisition management plans.**

Project software acquisition management plans typically contain or reference documents that contain:

1. Project objectives, purpose, scope, and duration.
2. Project summary and authorization.
3. Project team structure, roles, and responsibilities.
4. Resource requirements.
5. Acquisition strategy.
6. Project performance, cost, and schedule baselines.
7. Coordination and communication.
8. Risk identification and tracking.
9. Relationship to systems engineering.
10. Software engineering approach.
11. Integrated logistics support requirements.
12. Software support requirements.
13. Security policy and requirements.
14. Corrective action reporting procedures.
15. The extent of end user involvement in the acquisition.

*Refer to Activity 3 the Software Acquisition Planning key process area.*

**Activity 2**      **The organization of the project provides for the management of all project functions.**

**Activity 3**      **The software acquisition management activities of the project team are directed to accomplish the project's objectives.**

This management function typically includes:

1. Documenting the roles, responsibilities, and associated authority of the project manager and team members.
2. Communication among the project manager and the project team through regularly scheduled meetings with agendas and follow-up actions.
3. Obtaining status of the project team's activities.

**Activity 4**      **The software acquisition management activities of the project team are controlled.**

This management function typically includes:

1. Providing guidance on the activities to be performed by the project team.
2. Using project team input to adjust its activities.
3. Identifying and documenting non-conformance with written procedures and taking corrective action.

**Activity 5**      **The project team implements a corrective action system for the identification, recording, tracking, and correction of problems discovered during the software acquisition.**

**Activity 6**      **The project team tracks project status, execution, funding, and expenditures and takes action.**

Some examples of project tracking activities include:

accumulation of actual expenditures,  
periodic progress measurements,  
application of earned value practices, and  
performance evaluations.

## Measurement and analysis

---

**Measurement 1**   **Measurements are made and used to determine the status of the project management activities and resultant products.**

Some examples of measurements include:

effort expended,  
funds expended,  
progress towards completion of project management  
planning and the organizational strategy, and  
completion of milestones.

## Verifying implementation

---

**Verification 1**   **Project management activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, project management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2**   **Project management activities are reviewed by the project manager on both a periodic and event-driven basis.**



# **Contract Tracking and Oversight**

---

## *a key process area for Level 2: Repeatable*

---

The purpose of Contract Tracking and Oversight is to ensure that the software activities under contract are being performed in accordance with contractual requirements, and that evolving products and services will satisfy contractual requirements.

Contract Tracking and Oversight involves providing ongoing inputs and guidance to the contractor's effort and identifies risks and problems in the effort.

Contract tracking and oversight begins with the award of the contract and ends at the conclusion of the contract's period of performance.

The contract provides the binding agreement for establishing the requirements for the software products and services to be acquired. It establishes the mechanism to allow the project team to oversee the contractor's software activities and evolving products and to evaluate any software products and services being acquired. It also provides the vehicle for mutual understanding between the project team and the contractor of the software requirements of the contract.

## **Goals**

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>The acquired software products and services satisfy contractual requirements.</b>   |
| <b>Goal 2</b> | <b>The contractor's software engineering effort complies with contract requirements.</b>   |
| <b>Goal 3</b> | <b>The project team and contractor maintain ongoing communication and commitments are agreed to by both parties.</b>   |
| <b>Goal 4</b> | <b>The contract, and any changes, adhere to relevant laws, policies, regulations, and other planned guidance and is consistent with project software acquisition requirements.</b> |

## **Commitment to perform**

---

**Commitment 1    The acquisition organization has a written policy for the contract tracking and oversight of the contracted software effort.**

This policy typically specifies that:

1. Planning for contract tracking and oversight is documented.
2. Contract tracking and oversight plans are managed and controlled.
3. Applicable tools and methodologies are to be used to track the contracted effort.
4. The integrity of the contract is to be maintained throughout the contract performance period.
5. Software efforts are to be addressed at reviews of contractor performance.

**Commitment 2    Responsibility for contract tracking and oversight activities is designated.**

**Commitment 3    The project team is supported by contracting specialists in the execution of the contract.**

## **Ability to perform**

---

**Ability 1        A group that is responsible for managing contract tracking and oversight activities exists.**

**Ability 2        Adequate resources are provided for contract tracking and oversight activities.**

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

**Ability 3        Individuals performing contract tracking and oversight activities have experience or receive training.**

Experience means, for example, having participated on at least one software project in areas of tracking software development under contract, providing technical guidance to contractors, and correctly applying contractual and legal policies and regulations for that effort.

## Activities performed

### Activity 1

**The project team performs its activities in accordance with its documented contract tracking and oversight plans.**

The plans typically cover:

1. Guidelines and criteria used in defining the project team's contract tracking and oversight activities.
2. Activities to be performed and the schedule to perform these activities.
3. Identification of groups, assigned responsibilities, and intergroup coordination.
4. Extent of end user involvement.
5. Techniques, tools, and methodologies to be employed for review and tracking of contractor performance and compliance of the evolving software products and services.
6. Resources required to accomplish contract tracking and oversight activities.
7. Procedures to be followed to track and identify issues to closure.

*Refer to Activity 3 of the Software Acquisition Planning key process area.*

### Activity 2

**The project team reviews required contractor software planning documents which, when satisfactory, are used to oversee the contractor's software engineering effort.**

Changes to these plans are to be coordinated with the project team before being implemented by the contractor.

Some examples of required contractor planning documents include:

- project management plan,
- software risk management plan,
- software engineering plan,
- configuration management plan, and
- subcontractor management plan.

**Activity 3      The project team conducts periodic reviews and interchanges with the contractor.**

These reviews may include end user input as needed.

These reviews typically attempt to ensure:

1. Continuing communications and mutual understanding of the contractual software requirements.
2. The contractor is implementing activities according to approved plans.
3. Open issues with the contractor are resolved.
4. The contractor's activities and results are addressed.
5. The contractor's evaluations of the software products and services comply with approved evaluation plans and procedures.
6. The contractor's corrective action system, including defect reporting, defect correction, re-testing, and rework, is being implemented according to approved plans and procedures.
7. The software requirements being analyzed and documented by the contractor are unambiguous, traceable, testable, documented, and controlled.
8. The actual progress and cost of the contractor's software engineering process is compared to planned schedules and budgets.

Some examples of contractor progress tracking include:

contract work packages,  
periodic progress measurements,  
earned value practices, and  
performance evaluations.

9. Evolving software products and services will satisfy software-related contractual requirements, including functional, performance, operational, supportability, and other quality requirements.

**Activity 4      The project team reviews and tracks the development of the software engineering environment required to provide life cycle support for the acquired software.****Activity 5      Any problems or issues found by the project team during contract tracking and oversight are recorded in the appropriate corrective action system and tracked to closure.**

The appropriate corrective action system can be either the project team's or the contractor's.

**Activity 6      The project team maintains the integrity of the contract throughout the contract performance period.**

Contract integrity is the adherence and compliance to relevant laws, policies, regulations, and other planned guidance.

This activity typically includes:

1. Changing the contract terms and conditions as appropriate.
2. Insuring that changes to the software-related contractual requirements are coordinated with all affected groups and individuals, such as the contracting official, contractor, and end user.

## Measurement and analysis

**Measurement 1      Measurements are made and used to determine the status of the contract tracking and oversight activities and resultant products.**

Some examples of measurements include:

effort expended,  
funds expended,  
progress towards completion of contract tracking and oversight planning and baselining contractor software planning documents,  
number of items closed in the corrective action system used by the project team, and  
completion of milestones.

## Verifying implementation

**Verification 1      Contract tracking and oversight activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, contract tracking and oversight activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2      Contract tracking and oversight activities are reviewed by the project manager on both a periodic and event-driven basis.**

---

## Evaluation

---

### *a key process area for Level 2: Repeatable*

---

The purpose of Evaluation is to determine that the acquired software products and services satisfy contract requirements prior to acceptance and transition to support.

Evaluation involves the development of technical and non-technical requirements for the evaluation approach, including acceptance criteria, which are incorporated into both the solicitation package and the contract. Evaluations are conducted during contract performance and results are analyzed to determine acceptability of the software products and services. Evaluation activities are designed to reduce interference with contractor-performed evaluations and to reduce duplication of evaluation efforts. Evaluation builds on the activities that establish and verify the contractual requirements. Evaluation interacts with the Contract Tracking and Oversight key process area.

Evaluation begins with development of the system requirements and ends when the software acquisition is completed.

---

### Goals

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>Evaluations provide an objective basis to support the decision for acceptance of the software products and services.</b>                              |
| <b>Goal 2</b> | <b>Evaluations are planned to provide an integrated approach which satisfies all evaluation requirements and maximizes efficiency of the activities.</b> |

---

### Commitment to perform

---

- |                     |  |
|---------------------|--|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for managing the evaluation of the acquired software products and services.</b> |
|---------------------|--|

This policy typically specifies that:

1. Evaluations are intended to reduce acquisition risk and to estimate operational effectiveness and suitability of the software products and services to support the satisfaction of end user needs.

2. The project includes plans for the evaluation of the acquired software products and services which specify critical issues, evaluation objectives, and evaluation criteria.
3. The project's evaluation activities begin with the development of the software-related contractual requirements.

*Refer to Activity 2 of the Requirements Development and Management key process area.*

4. The project defines the evaluation requirements for the software acquisition.

Some examples of evaluation requirements include:

documented evaluation approach involving the project team, the contractor, and other affected groups;  
contractor evaluation activities or tasks required;  
contract deliverables such as test plans and reports; and  
integrated evaluation schedule.

5. Results of the evaluations are used as a basis for acceptance of the software.
6. Software products and services must pass a successful evaluation of contract requirements before acceptance.
7. The project's software evaluation planning is updated to reflect changes to the software requirements.

## **Commitment 2 Responsibility for evaluation activities is clearly designated.**

### **Ability to perform**

#### **Ability 1**

**A group that is responsible for planning, managing, and performing evaluation activities for the project exists.**

The evaluation group may include:

1. Independent evaluators.
2. End users.
3. Software support organization.
4. System and software engineers.
5. Members of the software requirements development and management group.

*Refer to the Requirements Development and Management key process area.*

**Ability 2 Adequate resources are provided for evaluation activities.**

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

Some examples of tools to support software evaluation activities include:

data collection tools,  
static code analyzers,  
quantitative analysis software packages,  
problem tracking software packages,  
configuration management tools, and  
traceability tools.

**Ability 3 Individuals performing evaluation activities have experience or receive training.**

Experience means, for example, having developed testing methods for the evaluation of software products and services, having applied basic analysis techniques, and having evaluated product quality data on at least one project.

**Ability 4 Members of the project team and groups supporting the software acquisition receive orientation on the objectives of the evaluation approach.****Activities performed****Activity 1 The project team performs its activities in accordance with its documented evaluation plans.**

The plans typically cover:

1. A summary of the operational need and key operational effectiveness or suitability issues that must be addressed by evaluation.
2. A brief description of the system and key areas of technical or engineering risk that must be addressed by evaluation.



3. A brief description of the integrated evaluation approach, including evaluation objectives, the evaluation activities to be performed, and the integrated schedule for these activities.
4. The groups responsible for conducting evaluation activities.
5. A summary of the resources required to perform the evaluations.
6. The actions to be taken when software product or service quality is determined or projected to fall short of established requirements.

*Refer to Activity 3 of the Software Acquisition Planning key process area.*

## Activity 2

**The project's evaluation requirements are developed in conjunction with the development of the system or software technical requirements.**

1. Development of evaluation requirements involves groups participating in evaluation activities, including the end users.
2. Development of evaluation requirements may involve:
  - ▶ Identifying the system or software requirements to be evaluated.
  - ▶ Identifying architectural compliance issues to be evaluated.
  - ▶ Establishing objective evaluation and acceptance criteria.
  - ▶ Developing test cases.
  - ▶ Designing detailed activities to perform the evaluations.
  - ▶ Identifying methods to evaluate the quality of the acquired software products and services.

Some examples of methods to evaluate software include:

using software engineering methods,  
peer reviews,  
conducting tests,  
performing analyses or inspections, and  
applying measurements.

- ▶ Identifying requisite resources and ensuring that these resources will be in place.
- ▶ Developing a detailed schedule of activities.
- ▶ Developing test environments.
- ▶ Ensuring traceability of evaluation requirements to system requirements.

## Activity 3

**The evaluation requirements are incorporated into the solicitation package and resulting contract.**

The contract provisions typically include:

1. Requirements for the contractor to document a plan for an evaluation of the software products and services prior to delivery.
2. Measurements that provide the project team visibility into the contractor's evaluation program and results.
3. Mechanisms and deliverables that provide the project team sufficient data to allow evaluation and analyses of acquired software products and services.
4. Requirements for the contractor to establish a corrective action system which includes a change control process for rework and reevaluation.
5. Requirements to ensure the contractor supports each of the project's evaluation activities.

**Activity 4      The project team assesses contractor's performance for compliance with evaluation requirements.**

*Refer to Activity 3 of the Contract Tracking and Oversight key process area.*

**Activity 5      Planned evaluations are performed on the acquired software products and services prior to acceptance for operational use.**

As part of the planned integrated approach, complementary evaluations may be performed independently by the project team (with support of the contractor) to further reduce the risk that the acquired software products and services will fail to satisfy contractual requirements.

Any problems or issues such as areas of non-compliance found by evaluation activities are recorded in the appropriate corrective action system.

**Activity 6      Results of the evaluations are analyzed and compared to the contract's requirements to establish an objective basis to support the decision to accept the products and services or to take further action.**

## Measurement and analysis

**Measurement 1      Measurements are made and used to determine the status of the evaluation activities and resultant products.**

Some examples of measurements include:

effort expended,  
funds expended,  
progress towards completion of evaluation  
planning and of evaluation requirements, and  
completion of milestones.

## Verifying implementation

**Verification 1**    **Evaluation activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, evaluation activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2**    **Evaluation activities are reviewed by the project manager on both a periodic and event-driven basis.**

# Transition to Support

---

## *a key process area for Level 2: Repeatable*

---

The purpose of Transition to Support is to provide for the transition of the software products being acquired to the eventual software support organization. The necessary resources are identified, budgeted for, and are available when needed. The designated software support organization is fully prepared to accept responsibility for the software products in time to ensure uninterrupted support.

Transition to Support involves developing and implementing the plans for transitioning the acquired software products. It also involves ensuring that the contractor and the software support organization are informed on the contents of the software engineering and support environments. The project team provides for an orderly, smooth transition of the software products from the contractor to the software support organization.

Transition to support begins with the earliest definition of software requirements and ends when the responsibility for the software products is turned over to the software support organization.

## Goals

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>The software support organization has the capacity to provide the required support upon assumption of responsibility for the software products.</b> |
| <b>Goal 2</b> | <b>There is no loss in continuity of support to the software products during transition from the contractor to the software support organization.</b>  |
| <b>Goal 3</b> | <b>Configuration management is maintained throughout the transition.</b>   |

## Commitment to perform

---

- |                     |   |
|---------------------|---|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for the transitioning of software products to the software support organization.</b> |
|---------------------|---|

This policy typically specifies that:

1. The software support organization is identified prior to developing the solicitation package.

2. Resources for software support are included in the appropriate budget(s).
3. The designated software support organization is involved, as appropriate, throughout the acquisition.

**Commitment 2    The acquisition organization ensures that the software support organization is involved in planning for transition to support.**

**Commitment 3    Responsibility for transition to support activities is designated.**

## **Ability to perform**

---

**Ability 1        A group that is responsible for coordinating transition to support activities exists.**

**Ability 2        Adequate resources are provided for transition to support activities.**

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

**Ability 3        The organization responsible for providing support of the software products is identified no later than initiation of the solicitation package's development.**

**Ability 4        The software support organization, prior to transition, has a complete inventory of all software and related items that are to be transitioned.**

Some examples of related items include:

software descriptive documentation,  
necessary support software,  
pertinent data from the corrective action and  
configuration management systems, and  
maintenance documentation.

**Ability 5**      **Individuals performing transition to support activities have experience or receive training.**

Experience means, for example, having participated in a software acquisition management role on at least one project and having participated in supporting software for at least two years.

**Ability 6**      **The members of organizations interfacing with the transition to support activities receive orientation on the salient aspects of transition to support activities.**

## **Activities performed**

---

**Activity 1**      **The project team performs its activities in accordance with its documented transition to support plans.**

The plans typically cover:

1. The objectives and scope of the transition to support activities.
2. Identification and involvement of the software support organization.
3. Support resource requirements.
4. A definition of transition activities.
5. A schedule of transition activities.
6. Allocation of transition responsibilities.
7. Warranty and data rights provisions.

*Refer to Activity 3 of the Software Acquisition Planning key process area.*

**Activity 2**      **Responsibility for the software products is transferred only after the software support organization demonstrates its capability to modify and support the software products.**

This capability typically includes the availability of:

1. Hardware, software, physical, fiscal, and personnel resources.
2. Plans, processes, procedures, and documentation.

3. An established configuration management system capable of supporting the software.
4. Appropriate training of all personnel involved.
5. Software replication, test, and distribution capabilities.

**Activity 3**

**The project team oversees the configuration control of the software products throughout the transition.**

## **Measurement and analysis**

---

**Measurement 1** Measurements are made and used to determine the status of the transition to support activities and resultant products.

Some examples of measurements include:

effort expended,  
funds expended,  
progress towards completion of transition to  
support planning, and  
completion of milestones.

## **Verifying implementation**

---

**Verification 1** Transition to support activities are reviewed by acquisition and software support organizations' managements on a periodic basis.

The primary purpose of these reviews by acquisition and software support organizations' managements is to provide awareness of, and insight into, transition to support activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2** Transition to support activities are reviewed by the project manager on both a periodic and event-driven basis.

---

## Level 3 - The Defined Level

---

At the Defined Level, the acquisition organization's standard software acquisition process is established, including the processes for both software contract management and project management, and its use is integrated into each project. The acquisition organization exploits effective software acquisition techniques when standardizing software acquisition processes. There is a permanent focus on the process; the acquisition organization's software acquisition process group facilitates process definition and maintenance efforts. Processes established at the Defined Level are tailored as appropriate to perform more effectively within the project. An organization-wide training program is implemented to ensure that all practitioners and managers have the knowledge and skills required to carry out their tasks.

Projects use the acquisition organization's standard software acquisition process as a basis for creating their own defined software acquisition process that encompasses the unique characteristics of the project. Because the acquisition organization's standard software acquisition process is well defined and understood, management has good visibility into technical progress of the project. Management and engineering activities are coherently integrated on each project. When attempting to comply with required policy, the project team is capable of balancing the intent of the policy with a conflicting project need. The project team ensures compliance with plans and contract requirements and works with the contractor to resolve compliance difficulties when they arise. Risks are identified and managed throughout the acquisition.

The process capability of Level 3 acquisition organizations can be summarized as being controlled since performance, cost, schedule, and requirements are under control and software quality is tracked. This capability is based on a common understanding of processes, roles, and responsibilities in a defined acquisition process.

Level 3 key process areas are:

- Process Definition and Maintenance
- Project Performance Management
- Contract Performance Management
- Acquisition Risk Management
- Training Program



---

# Process Definition and Maintenance

---

## *a key process area for Level 3: Defined*

---

The purpose of Process Definition and Maintenance is to establish the acquisition organization's standard software acquisition process and an organizational responsibility for stabilizing and maintaining the standard software acquisition process.

Process Definition and Maintenance involves understanding the organization's and projects' software acquisition processes, collecting a set of software acquisition process assets, and coordinating efforts to appraise and improve software acquisition processes.

The acquisition organization provides the long-term commitments and resources to establish and maintain a software acquisition process group. This group is responsible for the definition, maintenance, and improvement of the acquisition organization's standard software acquisition process and other process assets, including guidelines for all projects to tailor the standard software acquisition process to their specific situations. It coordinates process activities with the software projects and related elements of the organization.

### Goals

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>A standard software acquisition process for the acquisition organization is defined, managed, and controlled.</b>   |
| <b>Goal 2</b> | <b>Process definition and maintenance activities are coordinated across the acquisition organization.</b>  |
| <b>Goal 3</b> | <b>Information relating to the use of the acquisition organization's standard software acquisition process by the software acquisition projects is collected, analyzed, and made accessible.</b> |

### Commitment to perform

---

- |                     |  |
|---------------------|--|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for software acquisition process definition and maintenance activities.</b> |
|---------------------|--|

This policy typically specifies that:

1. A software acquisition process group is established and is responsible for the acquisition organization-level software acquisition process activities and coordinating these activities with the projects.
2. A standard software acquisition process is defined for the acquisition organization.

The acquisition organization's standard software acquisition process may contain more than one process. A choice of processes may be necessary to address a project's unique acquisition environment.

3. The software acquisition process used by the projects is selected from the acquisition organization's standard software acquisition process and is tailored based on a project's specific acquisition environment.
4. The software acquisition process assets are maintained.

The acquisition organization's software acquisition process assets include:

the acquisition organization's standard software acquisition process,  
guidelines and criteria for the projects' tailoring of the acquisition organization's standard software acquisition process,  
descriptions of the standard acquisition strategies approved for use, and  
the software acquisition process repository.

5. Improvements to, lessons learned, and other useful information on each project's defined software acquisition process, tools, and methods are collected and made accessible to other projects.
6. Information collected from the projects is reviewed, analyzed, and used to improve the acquisition organization's standard software acquisition process.

**Commitment 2    Organization management sponsors the acquisition organization's activities for process definition and maintenance.**

Organization management establishes:

1. Long-term plans and commitments for funding, staffing, and other resources, and its commitment to these software acquisition process activities.
2. Strategies for managing and implementing the activities for process definition and maintenance.

**Commitment 3    Responsibility for process definition and maintenance activities is designated.**

---

## Ability to perform

---

- Ability 1**      **A group that is responsible for the acquisition organization's process definition and maintenance activities exists.**
- Ability 2**      **Adequate resources are provided for process definition and maintenance activities.**
- Resources include:
1. Funding.
  2. Staff.
  3. Equipment.
  4. Tools.
- Ability 3**      **Members of the software acquisition process group have experience or receive required training.**
- Experience means, for example, having participated in a software acquisition management role on at least one project and membership in an active process group, such as a software engineering process group, for at least one year.
- Refer to the Training Program key process area for a description of training practices.*
- Ability 4**      **Project team members receive training on the acquisition organization's standard software acquisition process and their roles in this process.**
- Refer to the Training Program key process area for a description of training practices.*

---

## Activities performed

---

- Activity 1**      **The acquisition organization performs its activities in accordance with its documented process definition and maintenance plans.**
- The plan(s) should be consistent with other acquisition organization plans. Inputs, such as action plans from software acquisition process appraisals, strategic and operational business plans, and acquisition organization improvement initiatives, should be considered in the development of and subsequent updates to the plan.

The plans typically cover:

1. The objectives of the acquisition organization's process definition and maintenance activities.

Objectives define the direction and general timing for the acquisition organization's process definition and maintenance activities. Objectives may specify particular areas for improvement focus, such as contract performance management and procedural guidance and the coverage and time intervals for periodic appraisals of the software acquisition process.

2. The process definition and maintenance activities to be performed and the schedule for these activities.
3. The groups and individuals responsible for the process definition and maintenance activities.
4. The resources required to perform the process definition and maintenance activities.
5. The procedures to be followed in performing the process definition and maintenance activities.
6. A required review and approval by acquisition organization management.
7. Management and control of the plan(s).

*Refer to Activity 3 of the Software Acquisition Planning key process area.*

## Activity 2

**The acquisition organization's standard software acquisition process is defined and maintained in accordance with its documented process definition and maintenance plans.**

These plans typically require that:

1. The acquisition organization's standard software acquisition process satisfies the software acquisition policies, process standards, product standards, and legal requirements imposed on the organization, as appropriate.
2. State-of-the-practice software acquisition tools and methods are incorporated into the acquisition organization's standard software acquisition process, as appropriate.
3. A software acquisition cost model(s) for project planning and estimating is developed and maintained as part of the acquisition organization's standard software acquisition process.

The software acquisition cost model(s) includes both a software cost model(s) for estimating the contractor's software effort, schedule, and cost, and a model(s) for estimating the project team's effort, schedule, and cost.

4. The software acquisition process group reviews, approves, manages, and controls any changes to the standard software acquisition process.

## Activity 3

**The acquisition organization's standard software acquisition process is appraised periodically and action plans developed to address the findings of the appraisal.**

The action plans typically identify:

1. Which appraisal findings will be addressed, their priority, and the schedule for addressing them.
2. Guidelines for implementing changes to address the findings.
3. Responsibility for implementing the changes.
4. Closure plans for implementing the changes.
5. Appraisal findings that will not be addressed and rationale for not doing so.

**Activity 4      The acquisition organization's and projects' activities for defining and maintaining their software acquisition processes are coordinated at the organization level.**

**Activity 5      Guidelines and criteria for a project's selection and tailoring of the acquisition organization's standard software acquisition process are developed and maintained.**

The guidelines and criteria typically cover:

1. Selecting and tailoring the acquisition organization's standard software acquisition process and software acquisition strategy to accommodate the project's characteristics.
2. Standards for documenting the project's defined software acquisition process.
3. Procedures for obtaining permission to deviate from the acquisition organization's standard software acquisition process.

**Activity 6      An organizational repository of software acquisition process information is established, managed, controlled, and maintained to support process definition and maintenance activities.**

1. Information includes both data about software acquisition process and work products, and software acquisition process-related documentation.

Software acquisition process and work products data include:

cost model used;  
project software measurements (planned and actual); and  
software size, effort, schedule, and defects.

Some examples of software acquisition process-related documentation include:

description of a project's defined software acquisition process and  
a project's software acquisition documentation (e.g., acquisition strategy,  
evaluation, solicitation, and software acquisition management plans).

2. Information on the acquisition organization's and projects' software acquisition processes and work products is collected.
3. Candidate information items are reviewed and appropriate items are included in the repository.
4. Information items are catalogued for easy access.
5. The repository contents are made available for use by the software acquisition projects and other software acquisition-related groups.
6. The use of each information item is reviewed periodically for currency, relevancy, and validity, and the results are used to maintain the repository contents.
7. User access to the repository contents is controlled to ensure completeness, integrity, and accuracy of the information.
8. Access is limited to those who have a need to enter, change, view, analyze, or extract information. Sensitive information is protected and access to this information is appropriately controlled.

**Activity 7**

**Project teams are informed of the acquisition organization's and projects' activities for process definition and maintenance.**

Some examples of means to inform project teams include:

electronic bulletin boards relating to software acquisition process,  
working groups,  
information exchange meetings,  
surveys,  
process improvement teams, and  
informal discussions.

## Measurement and analysis

**Measurement 1** **Measurements are made and used to determine the status of the process definition and maintenance activities and resultant products.**

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of process definition and maintenance  
planning, defining the acquisition organization's standard software  
acquisition process, defining guidelines for tailoring the standard software  
acquisition process, establishing the software acquisition process repository,  
and establishing vehicles for disseminating software acquisition  
information; and  
completion of milestones.

## Verifying implementation

### **Verification 1    Process definition and maintenance activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, process definition and maintenance activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

At a minimum, these reviews verify that:

1. Progress and status of the activities to define and improve the software acquisition process are reviewed against the plan.
2. Conflicts and issues not resolved at lower levels are addressed.
3. Action items are assigned, reviewed, and tracked to closure.
4. A summary report from each review is prepared and distributed to affected groups and individuals.

# **Project Performance Management**

---

## *a key process area for Level 3: Defined*

---

The purpose of Project Performance Management is to manage the software acquisition project according to a defined software acquisition process.

Project Performance Management involves developing the project's defined software acquisition process and managing the acquisition using this defined process. The project's defined software acquisition process is tailored from the acquisition organization's standard software acquisition process to address specific attributes of the project.

The project's management plans are based on the project's defined software acquisition process. These plans describe how the project's defined software acquisition process will be implemented and managed.

The basic practices for estimating, planning, and tracking a software acquisition project are established in the Software Acquisition Planning, Project Management, and Contract Tracking and Oversight key process areas. The emphasis in Project Performance Management at Level 3 shifts from reacting to acquisition problems and issues to anticipating these problems and acting to mitigate the risk.

### **Goals**

---

- |               |   |
|---------------|---|
| <b>Goal 1</b> | <b>The project is managed according to a coherent defined software acquisition process.</b>                       |
| <b>Goal 2</b> | <b>Effective communication and teamwork among affected groups exists.</b>   |
| <b>Goal 3</b> | <b>An integrated management approach is used to achieve project management's software acquisition objectives.</b> |

### **Commitment to perform**

---

- |                     |  |
|---------------------|--|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for the planning and managing of the project's software acquisition activities.</b> |
|---------------------|--|



This policy typically specifies that:

1. The project's defined software acquisition process is developed and documented by tailoring the acquisition organization's standard software acquisition process according to approved tailoring guidelines.

*Refer to Activity 5 of the Process Definition and Maintenance key process area.*

2. The project's software acquisition activities are planned and performed according to the project's defined software acquisition process.
3. Appropriate project measurement data are collected and stored by the project team according to the acquisition organization's software acquisition process repository requirements.

## Ability to perform

---

### Ability 1

**The individuals responsible for managing the software acquisition project activities have experience or receive required training.**

Experience means, for example, having participated in a software acquisition management role on at least one project and having experience in the domain of the application being acquired. Additionally, some individuals should have experience in project planning, organizing, controlling, budgeting, and scheduling.

*Refer to Activity 3 of the Training Program key process area.*

## Activities performed

---

### Activity 1

**The project's defined software acquisition process is developed and documented by tailoring the acquisition organization's standard software acquisition process according to the organization's tailoring guidelines.**

*Refer to Activity 5 of the Process Definition and Maintenance key process area.*

### Activity 2

**The project team develops and maintains the Project Management Plan in accordance with the acquisition organization's standard software acquisition process.**

*Refer to the Software Acquisition Planning, Project Management, and Contract Tracking and Oversight key process areas.*

The Project Management Plan typically addresses:

1. Technical requirements from a reasoned analysis of the end user's needs.
2. Management of solicitation and proposal evaluation plans.
3. Management of transition to support plans.
4. Provisions for gathering, analyzing, and reporting measurement data needed to manage the software acquisition project.
5. Activities for software estimating, planning, and tracking related to the key tasks and work products of the project's defined software acquisition process.
6. Readiness and completion criteria established, documented, and used to authorize initiation and determine completion of key tasks.
7. Critical dependencies and paths that are to be reflected in the schedule and tracked on a regular basis.
8. Documented criteria indicating when to review and revise the Project Management Plan.
9. Review and use of software acquisition management lessons learned, recorded, and stored in the acquisition organization's software acquisition process repository to estimate, plan, track, and re-plan the software acquisition project.

*Refer to Activity 6 of the Process Definition and Maintenance key process area.*

10. Staffing plan that addresses the software acquisition project's needs for individuals with special skills and acquisition domain knowledge.
11. Training needs identified and documented to fit the specific needs of the software acquisition project.

*Refer to the Training Program key process area.*

12. Software acquisition management plans and processes to be followed in interacting with other groups.
13. Risk management planning.

*Refer to Activity 2 of the Acquisition Risk Management key process area.*

14. Resources to accomplish the requirements of the Project Management Plan.

**Activity 3**

**The project team's software acquisition management activities are performed in accordance with the Project Management Plan.**

**Activity 4**

**The project's defined software acquisition process is revised as required to remain consistent with current project objectives.**

- Activity 5**      **The project team coordinates its activities with other organizations and activities supporting the project.**
- Activity 6**      **The acquisition organization's software acquisition process repository is used for project planning, estimating, and management.**
- Refer to Activity 6 of the Process Definition and Maintenance key process area.*
- Activity 7**      **Critical dependencies are identified, negotiated, and managed.**
- Activity 8**      **The project team performs periodic reviews to ensure current and projected needs of the end user will be satisfied.**
- Activity 9**      **Measurements are used to determine project team performance and trends analyzed.**
- Trend analysis relies on internal and external data.
- Activity 10**     **The project team identifies and analyzes risks and identifies specific risk handling actions for those risks.**
- Refer to Activity 3 of Software Acquisition Planning, Activity 2 of Contract Performance Management, and Activity 5 of Acquisition Risk Management key process areas.*
- Activity 11**     **The project team's software acquisition lessons learned are identified, documented, and entered into the acquisition organization's software acquisition process repository.**

## Measurement and analysis

---

- Measurement 1**   **Measurements are made and used to determine the status of the project performance management activities and resultant products.**

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of the Project Management Plan, updates to the Project Management Plan, establishing a corrective action system, updating the software acquisition process repository; and  
completion of milestones.

## Verifying implementation

---

- Verification 1**    **Project performance management activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, project performance management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

- Verification 2**    **Project performance management activities are reviewed by the project manager on both a periodic and event-driven basis.**

The review should include the activities performed as specified in the Project Management Plan.

---

# Contract Performance Management

---

## *a key process area for Level 3: Defined*

---

The purpose of Contract Performance Management is to implement a defined contract management process, the objective of which is to acquire software products and services that satisfy contract requirements.

Contract Performance Management involves appraising the contractor's software engineering performance and the quality of the evolving products and ongoing services. Based on the results of the appraisals, the acquisition may be adjusted. The process includes evaluation of final products and services to determine satisfaction of contractual requirements. The emphasis in contract performance management is to be proactive regarding contractor performance and contract compliance issues and to minimize the effects of these issues. Additional activities include contributing to the project's risk management activities, fostering an environment of mutual cooperation with the contractor, and identifying improvements to the contract performance management process.

The contract performance management process integrates contract performance management activities with other project management activities. Contract Performance Management builds on the Contract Tracking and Oversight and Evaluation key process areas. Contract performance management begins when the contract is awarded and ends at the conclusion of the contract's period of performance.

## Goals

---

- |               |   |
|---------------|---|
| <b>Goal 1</b> | <b>Contract performance management activities are conducted in a manner that ensures satisfaction of software contractual requirements.</b>   |
| <b>Goal 2</b> | <b>The quality of contractor performance, products, and services is appraised throughout the contract's period of performance to identify risks and take action to mitigate those risks as early as possible.</b> |
| <b>Goal 3</b> | <b>A cooperative and productive environment among the project team, the end user, and the contractor exists.</b>  |

---

## Commitment to perform

---

**Commitment 1    The acquisition organization has a written policy for the performance of contract performance management activities.**

This policy typically specifies that:

1. Contract performance management activities are performed in accordance with the project's defined software acquisition process.
2. Appropriate tools and methodologies are used to evaluate the products and services.
3. Risk analysis and management are included as part of the contract performance management activities.
4. Software products and services must pass a successful evaluation of contract requirements before system acceptance.
5. Software acceptance is dependent on the successful completion of operational evaluation.
6. Testing requirements and measurable acceptance criteria are established before the request for proposals is released.
7. The contractor is encouraged to establish a rigorous engineering evaluation process.
8. The project's software evaluation planning is updated to reflect changes to the requirements.

---

## Ability to perform

---

**Ability 1    A group that is responsible for performing contract performance management activities exists.**

**Ability 2    Individuals performing contract performance management activities have experience or receive required training in related software acquisition disciplines and contract performance management procedures.**

Experience means, for example, having participated on more than one software development project including appraising the contractor's planning documents, software engineering process, products, and services; having knowledge of current software development technologies; and having knowledge in the domain of the application being acquired.

Training includes areas of software evaluation, data reduction, and analysis techniques.

---

## Activities performed

---

### Activity 1

**The project team performs its activities in accordance with its documented contract performance management plans.**

In addition to the planning information called for in the Contract Tracking and Oversight key process area, these plans also typically cover:

1. The guidelines and criteria used in defining the project's contract performance management activities.
2. The activities to be performed and the schedule to perform the activities.
3. Risk management.

*Refer to Activity 3 of Software Acquisition Planning and Activity 1 of the Contract Tracking and Oversight key process areas.*

### Activity 2

**The contractor's software engineering process is appraised according to the project's defined software acquisition process.**

Typical activities include:

1. The contractor's software engineering process, practices, methodologies, and procedures are continually appraised for effectiveness and for compliance with contractual requirements.
2. The contractor's quality assurance, configuration management, corrective action, and risk management systems and processes are appraised for compliance with standards and plans to ensure that associated results support/promote attainment of contract objectives and compliance with contractual requirements.
3. Trend analysis of the contractor's software engineering process is performed to detect issues in satisfying contractual requirements as early as possible.

### Activity 3

**Results of the contractor's engineering activities are appraised according to the project's defined software acquisition process.**

Some of the appraisals conducted verify that:

1. The software requirements are being developed, documented, maintained, and verified according to the contractor's software engineering process and are traceable to higher level requirements.
2. The software architecture is feasible and will satisfy future system growth and reuse needs.
3. The software design is developed, documented, maintained, and verified according to the contractor's software engineering process.

4. The software is developed and documented according to the contractor's software engineering process.
5. The documentation that will be used to operate and support the software is developed and maintained according to the contractor's software engineering process.
6. The integration of COTS with developed software is accomplished in accordance with the contractor's software engineering process and planning documents.

**Activity 4      Measurements from appraisals are used to evaluate the contractor's performance and trends analyzed.**

Trend analysis can rely on internal and external data.

**Activity 5      As understanding of the software engineering process, products, and services improves, the project team may propose changes to the software products or services, process plans, and activities.**

1. The project team determines the impact of changes before the changes are implemented.
2. Changes to all software products and services are coordinated within the project team and communicated to other affected groups.
3. Adjustments that affect contractual requirements are made through official contracting channels.

**Activity 6      The end user periodically participates in the evaluation of evolving software products and services to determine the satisfaction of operational requirements.**

*Refer to Activity 5 of the Evaluation key process area.*

**Activity 7      Contract performance management activities are performed to foster a cooperative environment between the project team and the contractor.**

Typical activities include:

1. Supporting a mutual understanding of the contract's requirements between the project team and the contractor.
2. Maintaining ongoing communications between the project team and the contractor at appropriate levels.
3. Facilitating access to information regarding the status of the contractor's software performance and accomplishments.
4. Allowing the contractor to manage the software engineering efforts, including engineering evaluation, with minimal project team interference.



5. Promoting the joint development of solutions to issues by the project team and the contractor.
6. Requiring that the project team satisfies its commitments to the contractor, such as review of contractor-generated documentation and timely feedback of the results of project team evaluations of contractor performance, products, and services.
7. Maintaining mutual understanding of methods to administer the contract.

Some examples of areas to be addressed include:

maintenance of bi-directional, non-intrusive communications between the project team and the contractor;  
how issues and concerns not resolvable at lower levels will be decided;  
methods of identifying and mitigating risks; and  
the use of both software process and product measurements as a common basis of communication to understand the requirements and the status of the project.

## **Measurement and analysis**

---

**Measurement 1**    **Measurements are made and used to determine the status of the contract performance management activities and resultant products.**

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of contract performance  
management planning, appraisals, evaluations, and risk  
analyses; and  
completion of milestones.

## **Verifying implementation**

---

**Verification 1**    **Contract performance management activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, contract performance management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2**    **Contract performance management activities are reviewed by the project manager on both a periodic and event-driven basis.**

---

# Acquisition Risk Management

---

## *a key process area for Level 3: Defined*

---

The purpose of Acquisition Risk Management is to identify risks as early as possible, adjust the acquisition strategy to manage those risks, and develop and implement a risk management process as an integral part of the acquisition organization's standard software acquisition process. Acquisition risk management begins with the process of defining the system need and terminates when the software acquisition is completed. Acquisition risk management becomes an integral part of the solicitation, project performance management, and contract performance management processes.

Acquisition risk management is a two-part process. First, the software acquisition strategy identifies the risks associated with the acquisition of the system and the approach is planned based on those risks. Second, a process is employed to manage the risks throughout the acquisition.

Risk identification includes categorization of the risk based on historical data and estimates to determine the impact of each risk on quality, performance, schedule, and cost. The risks are analyzed to determine their impact on acquisition strategy and software engineering. Analysis includes determining the driver of each risk area and the impact of the risk so that risk handling strategies may be proposed and tested.

Acquisition risk management is planned through the Software Acquisition Risk Management Plan which details the processes to take place in acquisition planning and software acquisition management. The Software Acquisition Risk Management Plan describes the overt management actions and procedures to identify, analyze, and rank order risks, and the risk handling methods to be applied.

## Goals

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>Software acquisition risk management is an integral part of the project's defined software acquisition process.</b>   |
| <b>Goal 2</b> | <b>The project identifies and deals with risk in a positive manner, such that identification is recognized and rewarded, and results in effective risk handling.</b> |

---

## Commitment to perform

---

**Commitment 1    The acquisition organization has a written policy for the management of software acquisition risk.**

This policy typically specifies that:

1. Risk identification is performed throughout the project life cycle in accordance with the project's defined software acquisition process.
2. Risk management activities involve the project team, end user, and the contractor as appropriate.
3. Risk management is a positive and proactive part of software acquisition.
4. Risk information is communicated throughout the project team.

**Commitment 2    Responsibility for software acquisition risk management activities is designated.**

---

## Ability to perform

---

**Ability 1        A group that is responsible for coordinating software acquisition risk management activities exists.**

**Ability 2        Adequate resources are provided for software acquisition risk management activities.**

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

**Ability 3        Individuals performing software acquisition risk management activities have experience or receive required training.**

Experience means, for example, having participated in a software acquisition management role and having applied risk management techniques on at least one project and having experience in the domain of the application being acquired.

---

## Activities performed

---

**Activity 1**      **Software acquisition risk management activities are integrated into software acquisition planning.**

Risk management includes risk identification, analysis, planning, tracking, and controlling.

The acquisition strategy evolves based on risk identification and analysis.

*Refer to Activity 3 of the Software Acquisition Planning key process area.*

**Activity 2**      **The Software Acquisition Risk Management Plan is developed in accordance with the project's defined software acquisition process.**

The plan typically provides for:

1. The processes that the project team will follow for risk management.
2. Reporting on risk management activities.
3. Plans for handling identified risks.
4. The process for managing and controlling the Software Acquisition Risk Management Plan.
5. Resource requirements.

**Activity 3**      **The project team performs its software acquisition risk management activities in accordance with its documented plans.**

**Activity 4**      **Risk management is conducted as an integral part of the solicitation, project performance management, and contract performance management processes.**

*Refer to Activity 1 of Solicitation, Activities 2 and 10 of Project Performance Management, and Activities 1 and 2 of the Contract Performance Management key process areas.*

**Activity 5**      **Software acquisition risk handling actions are tracked and controlled until the risks are mitigated.**

Risk handling actions typically include:

1. Tracking the status of the risk handling actions against the plan.
2. Reporting of the updated assessments of the risks and status of the risk handling actions.
3. Identification of corrective actions to be performed and updated risk handling actions required.

4. Periodic reviews of risk handling activities.

## Measurement and analysis

---

**Measurement 1** Measurements are made and used to determine the status of the acquisition risk management activities and resultant products.

Some examples of measurements include:

effort expended,  
funds expended,  
status of development of the Software Acquisition Risk Management Plan,  
status of risks (e.g., Top-Ten List),  
status of risk management actions, and  
status of the of risk management analysis actions.

## Verifying implementation

---

**Verification 1** Acquisition risk management activities are reviewed by acquisition organization management on a periodic basis.

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, acquisition risk management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2** Acquisition risk management activities are reviewed by the project manager on both a periodic and event-driven basis.

Each review should include the activities performed as specified in the Software Acquisition Risk Management Plan.

# Training Program

## *a key process area for Level 3: Defined*

The purpose of Training Program is to develop the skills and knowledge of individuals so they can perform their software acquisition roles effectively and efficiently.

Training Program involves appraisal of training requirements at the acquisition organization, project, and individual levels. The acquisition organization surveys its current and future skill needs and determines how these skills will be obtained. Current weaknesses of the acquisition organization are understood and plans are developed to systematically address the weaknesses.

Some skills are effectively and efficiently imparted through informal vehicles, whereas other skills need more formal training vehicles to be effectively and efficiently imparted. The appropriate vehicles are selected and used.

Members of the acquisition organization are schooled in the standard software acquisition process, the project, the domain, and in the skills and knowledge needed to perform their jobs effectively. Members effectively use, or are prepared to use, the capabilities and features of the existing and planned work environment. The project teams become more effective through a better understanding of their work processes.

This key process area covers the group that is performing the organization's training function. The processes identifying specific training topics (i.e., knowledge or skills needed) are contained in the common feature "Ability to perform" of the individual key process areas.

### Goals

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>Training Program activities are planned.</b>  |
| <b>Goal 2</b> | <b>Required training is identified and provided.</b>   |
| <b>Goal 3</b> | <b>The training program fully supports the acquisition organization's standard software acquisition process.</b> |

### Commitment to perform

- |                     |   |
|---------------------|---|
| <b>Commitment 1</b> | <b>The organization has a written policy for satisfying its training needs.</b> |
|---------------------|---|

This policy typically specifies that:

1. The needed skills and knowledge for each software acquisition managerial and technical role are identified.
2. The training program is developed to build the skill base of the organization, to fill the specific needs of the projects, and to develop the skills of individuals.
3. Training is provided from within the acquisition organization or obtained from outside the acquisition organization when appropriate.

Some examples of external training sources include:

end user-provided training,  
commercially available training courses,  
academic programs,  
professional conferences, and  
seminars.

4. Training vehicles for imparting skills and knowledge are identified, approved, and managed.

Some examples of training vehicles include:

classroom training,  
computer-aided instruction,  
guided self-study,  
formal apprenticeship and mentoring programs, and  
facilitated videos.

**Commitment 2 Responsibility for implementing the organization's training program is designated.**

## **Ability to perform**

---

**Ability 1 A group that is responsible for fulfilling the training needs of the organization exists.**

The members of the training group may include full-time or part-time instructors drawn from the organization and from external sources.

**Ability 2 Adequate resources are provided for training program activities.**

1. Resources include:
  - ▶ Funding.
  - ▶ Staff.
  - ▶ Equipment.
  - ▶ Tools.

2. Appropriate facilities are made available to conduct training.
  - ▶ Classroom training facilities should be separated from the students' work environments to minimize interruptions.
  - ▶ Where appropriate, training is conducted in settings that closely resemble actual performance conditions and includes activities to simulate actual work situations.

**Ability 3**

**Members of the training group have the necessary skills and knowledge to perform their training activities.**

Some examples of ways to provide these skills and knowledge include:

training in instructional techniques, and  
refresher training in the subject matter.

**Ability 4**

**Software acquisition management personnel receive orientation on the training program.**

Some examples of topics for orientation include:

corporate training program objectives and plan,  
process for determination of training needs,  
methods for providing required training, and  
identification of training sources.

## **Activities performed**

**Activity 1**

**The organization's training program is developed and maintained.**

Some examples of training program elements include:

the organization's training plan,  
training materials,  
development or procurement of training,  
conduct of training,  
training facilities,  
appraisal of training, and  
maintaining training records.

The organization's training program typically covers:

1. The set of skills needed and when those skills are needed.
2. Training that is required, for whom it is required, and when it is required.



Training for individuals is tied to their work responsibilities such that on-the-job activities or outside experience will reinforce the training within a reasonable time after receiving the training.

3. Developing individual training plans.
4. How training will be provided.

The training may be provided by the project, by the organization's training program, or by an external group.

**Activity 2**

**Each software acquisition project identifies specific training needs and develops a training plan in accordance with training program procedures.**

The project's training plan typically covers:

1. The set of skills needed and when those skills are needed.
2. Skills for which training is required and the skills that will be obtained via other vehicles.
3. Training that is required, for whom it is required, and when it is required.

Training for individuals is tied to their work responsibilities such that on-the-job activities or outside experience will reinforce the training within a reasonable time after receiving the training.

4. How training will be provided with a breakdown of resources required to provide this training.

The training may be provided by the project, by the organization's training program, or by an external group.

5. The requirement that the software acquisition project's training plans undergo a peer review.

**Activity 3**

**Software training for the project team is performed in accordance with the organization's training program.**

**Activity 4**

**A waiver procedure for required training is established and used to determine whether individuals already possess the knowledge and skills required to perform their designated roles.**

**Activity 5**

**Training records are maintained.**

Some of the records to be maintained are:

1. All students who successfully complete each training course or other approved training activity.
2. All students who successfully complete their designated required training as specified in their training plan.
3. Successfully completed training.

**Activity 6**      **Measurements are used to determine the quality of the training program.**

Some examples of measurements include:

reviews of the courses from the students, and  
feedback from the software managers.

## **Measurement and analysis**

---

**Measurement 1**    **Measurements are made and used to determine the status of the training program activities and resultant products.**

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of training program  
planning, projects' training plans, and training records;  
completion of milestones; and  
cost of the training program.

## **Verifying implementation**

---

**Verification 1**    **Training program activities are reviewed by organization management on a periodic basis.**

The primary purpose of these reviews by organization management is to provide awareness of, and insight into, training program activities at an appropriate level of abstraction and in a timely manner. The reviews verify that organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

This page intentionally left blank.

---

## **Level 4 - The Quantitative Level**

---

At the Quantitative Level, the project team sets quantitative quality objectives for processes, products, and services. Measures are established to provide a quantitative foundation for evaluating project processes, products, and services.

Project teams achieve control over acquisition processes, products, and services by narrowing the variation in project performance to within acceptable quantitative boundaries. Data on the defined software acquisition process and variations outside the acceptable quantitative boundaries are used to adjust the process to prevent recurrence of defects. An acquisition organization-wide process repository is used to collect and analyze data from the projects' defined software acquisition processes.

The process capability of Level 4 acquisition organizations can be summarized as measured and operating within measurable limits. This level of process capability allows an organization to predict process and product quality trends within the quantitative bounds of these limits. When these limits are exceeded, action is taken to correct the situation.

Level 4 key process areas are:

- Quantitative Process Management
- Quantitative Acquisition Management

# Quantitative Process Management

## *a key process area for Level 4: Quantitative*

The purpose of Quantitative Process Management is to control the process performance of the software acquisition. Projects fully implementing quantitative process management will have stable processes that are under quantitative control.

Quantitative Process Management involves each project team setting performance objectives, measuring performance, analyzing results, and making adjustments to maintain performance within acceptable limits. Process performance variations (i.e., variations attributable to specific implementations of the process) are measured and actions taken to bring the process performance within acceptable limits. When the project team's process performance is stabilized within acceptable limits, the defined software acquisition process, the associated measurements, and the acceptable performance limits are baselined to permit quantitative control of the project team's process performance.

The acquisition organization collects process performance data from the software acquisition projects and uses these data to assess the capability of its standard software acquisition process (see the Process Definition and Maintenance key process area). The capability of the acquisition organization's standard software acquisition process is indicative of the performance that can be expected from the next software acquisition project it undertakes. These capability data are, in turn, used by the software acquisition project teams to set their performance objectives and to analyze the performance of their defined software acquisition processes. The capability data are also used by the project teams in tailoring the acquisition organization's standard software acquisition process to a particular acquisition.

## Goals

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>The performance of each project's defined software acquisition process is quantitatively controlled.</b>                        |
| <b>Goal 2</b> | <b>The performance of the acquisition organization's standard software acquisition process is described in quantitative terms.</b> |

---

## Commitment to perform

---

### **Commitment 1    The acquisition organization has a written policy for the measurement and quantitative control of software acquisition process performance.**

The term "quantitative control" implies any quantitative or statistically-based technique appropriate for analyzing a software acquisition process, identifying causes of process performance variations, and adjusting the process to bring performance within prescribed limits.

This policy typically specifies that:

1. Each project team plans and implements quantitative control of its defined software acquisition process.
2. Access to sensitive data is appropriately controlled.

### **Commitment 2    The acquisition organization has a written policy for analysis of the capability of its standard software acquisition process.**

This policy typically specifies that:

1. Each project team's measurements of process performance are analyzed to establish and maintain a process capability baseline for the acquisition organization's standard software acquisition process.
  - The process capability baseline includes:
    - \* The description of the acquisition organization's standard software acquisition process.
    - \* The standard definitions of the measurements.
    - \* The expected range of values for the measurements.
2. The acquisition organization's software acquisition process capability baseline is used by each project team in establishing its process performance objectives.

---

## Ability to perform

---

### **Ability 1    A group that is responsible for coordinating quantitative process management activities for each project team exists.**

Either this group is the software acquisition process group or its activities are closely coordinated with that group.

**Ability 2      Adequate resources are provided for quantitative process management activities.**

Resources include:

1. Funding.
  2. Staff.
  3. Equipment.
  4. Tools.
- Tools to support quantitative process management activities are made available.

Some examples of quantitative process management tools include:

project management systems,  
cost and schedule control systems,  
requirements management systems,  
database systems,  
quantitative analysis packages, and  
defect tracking packages.

**Ability 3      Acquisition organization management support exists for collecting, recording, storing, and analyzing process and product measurement data.****Ability 4      The individuals implementing or supporting quantitative process management activities have experience or receive required training.**

Experience means, for example, having participated in a software acquisition management role on at least one project and having a minimum of three years acquisition experience.

Some examples of experience or training include:

defining and performing the software acquisition process;  
modeling and analyzing the software acquisition process;  
selecting, collecting, and verifying process measurement data;  
applying basic quantitative methods and analysis techniques; and  
defining quantitative objectives for process management.

*Refer to the Training Program key process area for a description of training practices.*

**Ability 5      The members of the project team and groups supporting the software acquisition project receive orientation on the objectives and values of quantitative process management.**

## Activities performed

### Activity 1

**The acquisition organization's software acquisition process capability baseline is established and maintained according to a written procedure.**

This procedure typically specifies that:

1. The project team's defined software acquisition process data are recorded in the acquisition organization's software acquisition process repository.

*Refer to Activity 6 of the Process Definition and Maintenance key process area.*

2. Each project team's process performance baseline is incorporated, as appropriate, into the acquisition organization's process capability baseline.
3. The process capability baseline for the acquisition organization's standard software acquisition process is documented, managed, and controlled.
4. Process capability trends for the acquisition organization's standard software acquisition process are examined to predict likely defects or opportunities for improvements.

Some examples of using capability trends include:

predicting the occurrence of project defects and comparing the predictions to actuals and  
predicting the distribution and severity of defects remaining in a project team work product based on data from reviews.

Some examples of areas that are sources of defects include:

items for estimating and planning,  
requirements definition,  
requirements analysis,  
solicitation package preparation,  
reviews of major contractor developed documents,  
items and activities that have been prone to defect insertion in the past,  
activities for implementing changes and fixing defects, and  
labor-intensive activities.

Some examples of areas that are opportunities for improvement include:

activities that other projects and organizations have successfully automated;  
project support items and activities, such as training and tools;  
quality-oriented activities; and  
labor-intensive activities.

5. Changes to the acquisition organization's standard software acquisition process are tracked and analyzed to determine their effect on the process capability baseline.

### Activity 2

**Each project team performs its activities in accordance with its documented quantitative process management plans.**



The plans typically cover:

1. The goals and objectives of the project team's quantitative process management activities.
2. The software acquisition tasks or other acquisition tasks that will be measured and analyzed.

The data collection and the quantitative analyses strategy are based on the project's defined software acquisition process.

3. The instrumentation of the project's defined software acquisition process.

The instrumentation is based on the acquisition organization's measurement program, the description of the acquisition organization's standard software acquisition process, and the description of the project's defined software acquisition process.

4. The quantitative process management activities to be performed and the schedule for these activities.

In addition to current organizational and project needs, measurements that may be useful to future efforts may be included.

5. The groups and individuals responsible for the quantitative process management activities.
6. The resources required to perform the quantitative process management activities, including staff and tools.
7. The procedures to be followed in performing the quantitative process management activities.

### Activity 3

**The measurement data used to quantitatively control the project's defined software acquisition process are collected in accordance with the project's quantitative process management plans.**

Some examples of measurement data include:

project software size, effort, schedule, and cost estimates used in the solicitation phase;  
actual project data on software size, effort, schedule, and cost;  
project team productivity data (e.g., staff hours expended, document pages reviewed, and requirements normally tested);  
project team quality measurements (e.g., number and severity of defects found in the project requirements and project team work products); and  
timeliness of project team work products.

Project team work products are those products that are produced by the project team as it executes the project's defined software acquisition process (e.g., solicitation, acquisition plans, document reviews). Project team work products are not the deliverables, products, end items, or other output produced by the contractor in satisfaction of the contract.

The plans typically specify that:

1. The measurement data collected support the acquisition organization's and the project team's measurement objectives.

2. The specific measurement data to be collected, their precise definitions, the intended use and analysis of each measurement, and the process control points at which they are collected are defined.

These data would normally be combined to develop productivity measures for insight into process performance. For example, the number of defects found in an inspection, along with the size of and effort involved in the inspection, provides a means of measuring the productivity of the inspection (defects per size/effort). This measure can then be compared across the project to determine the relative effectiveness of the inspection process as well as the product. Naturally, a judgement is necessary to preclude a singular characteristic, such as an unusually low number of defects for the product, from skewing the result. When these measures are applied across many products and processes, they can provide useful insight into process performance.

3. The measurements cover the properties of the key software acquisition process activities and major software acquisition work products.
4. The measurement data that relate to the acquisition organization's standard software acquisition process are collected according to a uniform process across the software acquisition projects.
5. The verification of each project's measurement data is independently determined.
6. The collected measurement data are stored in the acquisition organization's software acquisition process repository as appropriate.

*Refer to Activity 6 of the Process Definition and Maintenance key process area.*

#### Activity 4

**Each project's defined software acquisition process is analyzed and quantitatively controlled according to the project's quantitative process management plans.**

The plans typically specify that:

1. Specific data analysis activities are predefined.

Some examples of items analyzed include:

input data required,  
tools used,  
data manipulations performed,  
information to be derived,  
decision criteria used in performing the analysis, and  
criteria for deciding what actions to take as a result of the analysis.

2. Measurement data on the process activities throughout the project's defined software acquisition process are identified, collected, and analyzed.
3. The acceptable limits for each measurement are defined.

An example of establishing acceptable limits is to calculate the historical standard deviation from the mean performance of the process.

4. The actual values of each measurement are compared to the acceptable limits.

5. Adjustments are made to bring process performance in line with the established acceptable limits.
6. Each project team's software acquisition process performance baseline is established for the:
  - Definition of the measurements.
  - Actual measurement data.
  - Acceptable limits for the measurements.
7. The process performance baselines for the software acquisition project team are managed and controlled.

**Activity 5**      **Reports documenting the results of the project team's quantitative process management activities are prepared and distributed.**

**Activity 6**      **Causal analysis of each project's defined software acquisition process is conducted on a periodic basis to determine root causes of variances from the project's plans.**

An example of a method to determine root causes is cause/effect analysis.

**Activity 7**      **Changes are implemented to correct the project's defined software acquisition process where it is out of expected or acceptable bounds.**

## Measurement and analysis

**Measurement 1**      **Measurements are made and used to determine the status of the quantitative process management activities and resultant products.**

Some examples of measurements include:

effort expended,  
funds expended,  
progress towards completion of quantitative process management  
planning and the collection of measurement data, and  
completion of milestones.

**Measurement 2**      **Measurements are made and used to determine the effectiveness of the quantitative process management activities and resultant products.**

Some examples of measurements include:

the percentage of integration of the quantitative process management activities into the acquisition organization's standard software acquisition process, and  
the percentage of integration of the quantitative process management activities into the project's defined software acquisition process.

## Verifying implementation

---

- Verification 1**    **Quantitative process management activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, quantitative process management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

- Verification 2**    **Each project team's quantitative process management activities are reviewed by the project manager on both a periodic and event-driven basis.**

This review may be conducted in conjunction with project management oversight reviews, such as those conducted for the Project Performance Management and Contract Performance Management key process areas.

# Quantitative Acquisition Management

## *a key process area for Level 4: Quantitative*

The purpose of Quantitative Acquisition Management is to manage the contractual effort through the application of quantitative methods.

Quantitative Acquisition Management involves utilizing process and product measurements as an intrinsic part of management review and oversight to quantitatively manage the acquisition of software products and services.

As the acquisition organization continues to attain higher levels of maturity there is a transition to quantitative methods. This transition is marked by the involvement of all levels of acquisition management. The result represents an advance from contract performance management to acquisition management using quantitative methods. Another result of this transition is an expected increase in the quality of acquired products and services.

The quantitative acquisition management process is integrated with quantitative process management. The actions of quantitative process management at the project level and across the acquisition organization are integral to acquisition management.

### Goals

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>Quantitative objectives for the acquired products and services are defined.</b> |
| <b>Goal 2</b> | <b>The contracted effort is managed quantitatively.</b>                            |

### Commitment to perform

- |                     |   |
|---------------------|---|
| <b>Commitment 1</b> | <b>The acquisition organization has a written policy for quantitatively managing the acquisition of software products and services.</b> |
|---------------------|---|

The term "quantitative management" implies using quantitative or statistical based techniques for analyzing the acquired products and services, identifying causes of performance variations, and making adjustments to bring the products and services within prescribed limits.

This policy typically specifies that:

1. Each project's defined software acquisition process calls for planning and implementing quantitative control of its software acquisition.
2. Each project defines quantitative objectives for the acquisition of software products and services and collects measurements based on the project's defined software acquisition process.

**Commitment 2    The acquisition organization has a written policy that incorporates quantitative methods into management review and oversight activities.**

## **Ability to perform**

---

**Ability 1            Project team personnel have experience and are trained in quantitative methods.**

Experience means, for example, having participated in an acquisition where quantitative methods have been applied to the process, products, and services of the acquisition.

**Ability 2            The members of the project team and groups supporting the software acquisition project receive orientation on the goals and values of quantitative methods.**

## **Activities performed**

---

**Activity 1           Each project team performs its activities in accordance with its documented quantitative acquisition management plans.**

These plans typically cover:

1. Quantitative objectives for acquired products and services.
2. Management practices to be integrated with quantitative methods.

Some examples of management practices include:

risk management,  
configuration management,  
evaluation, and  
requirements development and management.

3. Methods for the collection of data for the measurement of acquired products and services.
4. Analysis of data to determine deviations from stated objectives.

5. The resources required to perform collection and analysis of quantitative measures.
6. The quality attributes expected in acquired products and services.

Some examples of software quality attributes are:

functionality,  
reliability,  
reusability,  
maintainability, and  
usability.

### Activity 2

**The acquisition organization utilizes quantitative measures as a normal part of management review and oversight of acquired products and services.**

Some of the project management areas that are tracked using quantitative process and product measures are:

1. Risk management.
2. Solicitation.
3. Evaluation.
4. Requirements development and management.

### Activity 3

**The quantitative objectives for each project's software products and services are defined.**

1. Attributes are identified that indicate how well the software products will perform or how well they will be engineered and maintained.
2. Measurable values (required and desired) are defined for each attribute.
3. The methods to measure the attributes are identified.

Some examples of methods to measure the attributes typically include:

conducting tests and  
formal inspections.

### Activity 4

**The quantitative objectives for each project's products and services are incorporated into the solicitation package and resulting contract according to the project's defined software acquisition process.**

The process typically includes contract mechanisms that provide the project team sufficient data to allow measurement and analysis of software products and services.

**Activity 5** Each project's acquired software products and services are measured, analyzed, and compared to the project's established quantitative objectives.

Acquisition management uses the results of these actions to take corrective actions to the project's defined software acquisition process in order to ensure that the project's products and services are acquired in accordance with established objectives.

*Refer to Activities 3 and 4 of the Quantitative Process Management key process area.*

**Activity 6** Causal analysis of each project's acquired products and services is conducted on a periodic basis to determine root causes of variances from the project's plans.

An example of a method to determine root causes is cause/effect analysis.

**Activity 7** Changes are implemented to correct project acquired products and services that are out of expected or acceptable bounds.

## Measurement and analysis

**Measurement 1** Measurements are made and used to determine the status of the quantitative acquisition management activities and resultant products.

Some examples of measurements include:

effort expended,  
funds expended,  
progress towards completion of quantitative acquisition management  
planning and the quantitative objectives for the solicitation and contract, and  
completion of milestones.

**Measurement 2** Measurements are made and used to determine the effectiveness of the quantitative acquisition management activities and resultant products.

Some examples of measurements include:

analytical reports that address quality of software products and services,  
percentages of variances from stated objectives (i.e., based on upper and  
lower bounds), and  
percentages of variances from quantitative objectives.



## Verifying implementation

---

- Verification 1**    **Quantitative acquisition management activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, quantitative acquisition management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

- Verification 2**    **Quantitative acquisition management activities are reviewed by the project manager on both a periodic and event-driven basis.**

---

---

## **Level 5 - The Optimizing Level**

---

At the Optimizing Level, the acquisition organization is focused on continuous process improvement. An acquisition organization has the means to identify processes that are candidates for optimization. Statistical evidence is available to analyze process effectiveness and is used to refine policies. Technological innovations that exploit the best software acquisition management and engineering practices are identified, appraised, and institutionalized.

Level 5 acquisition organizations are continuously striving to reduce variation in performance while increasing their level of performance. Improvement occurs both by incremental advancements in the existing mechanisms and by innovations using new technologies and techniques.

Level 5 key process areas are:

- Continuous Process Improvement
- Acquisition Innovation Management

# Continuous Process Improvement

## *a key process area for Level 5: Optimizing*

The purpose of Continuous Process Improvement is to evolve the software acquisition processes used in the acquisition organization through managed continuous process improvement.

Quantitative objectives for the acquisition organization's standard software acquisition process and the projects' defined software acquisition processes are the targets of the improvement activity.

Continuous Process Improvement involves defining quantitative process improvement objectives with the involvement and sponsorship of acquisition organization management. It is a continuous effort to proactively and systematically identify, appraise, and implement improvements to the acquisition organization's standard software acquisition process and the projects' defined software acquisition processes.

The commitment to continuous process improvement is acquisition organization-wide. Training and incentive programs are established to encourage and enable all acquisition organization personnel to participate in the software acquisition continuous process improvement activities. Improvement opportunities are identified and appraised in terms of how well they move the acquisition organization and its projects toward software acquisition continuous process improvement objectives.

When software acquisition process improvements are approved for normal practice, the acquisition organization's standard software acquisition process and the projects' defined software acquisition processes are revised. The Process Definition and Maintenance key process area defines the actions for changing the acquisition organization's standard software acquisition process. The Project Performance Management key process area defines the actions for changing the projects' defined software acquisition processes.

The Acquisition Innovation Management key process area defines the actions for adopting and transforming new techniques and technologies into the acquisition organization.

## Goals

- |               |   |
|---------------|---|
| <b>Goal 1</b> | <b>Participation in continuous process improvement activities is acquisition organization-wide.</b>   |
| <b>Goal 2</b> | <b>The acquisition organization's standard software acquisition process and the projects' defined software acquisition processes are improved continuously.</b> |

## **Commitment to perform**

---

### **Commitment 1    The acquisition organization has a written policy for the implementation of software acquisition process improvements.**

This policy typically specifies that:

1. The acquisition organization has quantitative objectives for improving the process effectiveness of its standard software acquisition process and the projects' defined software acquisition processes.
2. The acquisition organization's software acquisition process improvement activities are directed toward improving the quality of project team products and services and increasing project team productivity.
3. All of the acquisition organization's personnel are expected to participate in improving the software acquisition processes.

### **Commitment 2    Acquisition organization management actively sponsors process improvement activities.**

Acquisition organization management:

1. Establishes the organization's strategic objectives and plans for process improvement.
2. Allocates resources for process improvement activities.
3. Reviews the project managers' process improvement objectives and their process improvement plans.
4. Reviews and approves the process improvement plans.
5. Tracks performance of the continuous process improvement activities against their defined objectives.
6. Maintains a consistent priority focus on process improvement in the face of project crises.
7. Ensures that process improvement issues are resolved promptly.
8. Rewards participation in the process improvement activities.

## **Ability to perform**

---

### **Ability 1        Adequate resources are provided for continuous process improvement activities.**

Resources include:

1. Funding.
2. Staff.

Experienced individuals who have expertise in defining and analyzing software acquisition processes are made available to help the acquisition organization in its process improvement activities.

3. Equipment.
4. Tools.

## Ability 2

**Acquisition organization personnel receive required training in continuous process improvement.**

Some examples of training for software acquisition management personnel include:

managing technological and organizational change,  
team building, and  
teamwork skills as applied to continuous process improvement.

Some examples of training for project personnel include:

the principles of quality and process improvement, and  
the procedures for proposing process improvement.

Some examples of training for acquisition organization management personnel include:

the principles of process improvement,  
setting and tracking objectives for process improvement, and  
motivation and team building in a continuous process improvement environment.

*Refer to the Training Program key process area for a description of training practices.*

## Activities performed

### Activity 1

**The acquisition organization performs its activities in accordance with its documented continuous process improvement plans.**

The plans typically:

1. Identify the resources required.
2. Present the quantitative short-term and long-term objectives for software acquisition process performance and improvement.

3. Specify the procedures for:
  - ▶ The acquisition organization managers overseeing the process improvement activities.
  - ▶ The software acquisition managers planning and coordinating process improvement activities.
  - ▶ Individuals and project teams identifying, appraising, implementing, and evaluating software acquisition process improvements.
  - ▶ The teams developing process improvements for assigned software acquisition process areas.
4. Specify the administrative and support procedures required to maintain process improvement.
  - ▶ Administrative procedures to encourage participation in and facilitate the process improvement activities are included.
  - ▶ Procedures for the oversight and review of the process improvement activities by administrative personnel are included.
  - ▶ Procedures for the recognition of the roles and contribution of personnel to process improvement are included.
5. Are reviewed and approved by acquisition organization management.
6. Are managed and controlled.

**Activity 2****The software acquisition process group coordinates process improvement activities.**

The software acquisition process group:

1. Coordinates the definition of quantitative objectives for software acquisition process performance and improvement and reviews the objectives with acquisition organization management for its endorsement.
2. Defines the measurement plans for software acquisition process performance.
3. Participates in the effort to define the acquisition organization's training needs for process improvement and supports the development and presentation of training course materials.  
  
*Refer to the Training Program key process area for a description of training practices.*
4. Defines and maintains the procedures for handling process improvement proposals.
5. Reviews process improvement proposals and coordinates actions for these proposals.
6. Tracks status, accomplishments, and participation in the process improvement activities and periodically reports the results to acquisition organization management.

7. Reviews, approves, manages, and controls any changes to the acquisition organization's standard software acquisition process.
8. Defines, establishes, and maintains the process improvement records.

*Refer to the Process Definition and Maintenance key process area for an introduction to the software acquisition process group and the acquisition organization's standard software acquisition process.*

### Activity 3

#### **Process improvement proposals are handled according to a written procedure.**

This procedure typically specifies that:

1. Process improvement proposals are submitted.

The process improvement proposals may be submitted at any time, by any member of the organization, and may address any of the software acquisition processes or the area of process improvement.
--

2. Each process improvement proposal is evaluated, the expected benefits are determined, a decision is made whether to implement the proposal, and the decision rationale is documented.
3. Implementation of the approved process improvement actions is assigned and planned.
4. The status of each process improvement proposal is tracked.
5. Completed process improvement actions are reviewed, verified, and approved before closure.
6. Submitters of process improvement proposals receive:
  - ▶ Prompt acknowledgment of their proposals.
  - ▶ Notification of the disposition of their proposals.

### Activity 4

#### **Process improvements are transferred into practice according to a written procedure.**

This procedure typically specifies that:

1. Appropriate process changes are incorporated into the acquisition organization's standard software acquisition process.

*Refer to Activities 2, 3, and 4 of the Process Definition and Maintenance key process area.*

2. Appropriate changes are incorporated into the projects' defined software acquisition processes.

*Refer to Activity 4 of the Project Performance Management key process area.*

**Activity 5**      **Records of process improvement activities are maintained in the acquisition organization's repository for software acquisition process information.**

1. Information about the initiation, status, and implementation of the process improvement proposals is maintained.
2. Historical data are maintained and reports produced on process improvement activities and results.

Some examples of records and reports include the:

projects' productivity, quality, and schedule performances;  
projects' defect histories;  
organizational quality and productivity trends; and  
cost, schedule, and productivity of software acquisition process definition and maintenance.

*Refer to Activity 6 of the Process Definition and Maintenance key process area.*

---

## Measurement and analysis

---

**Measurement 1**      **Measurements are made and used to determine the status of the continuous process improvement activities and resultant products.**

Some examples of measurements include:

effort expended;  
funds expended;  
progress towards completion of process improvement planning, process improvement records, and updates to the software acquisition process repository; and  
completion of milestones.

**Measurement 2**      **Measurements are made and used to determine the effectiveness of the continuous process improvement activities and resultant products.**

Some examples of measurements include:

the percentage of integration of process improvement activities into the acquisition organization's standard software acquisition process,  
the number of process improvement proposals submitted and implemented for each process area,  
the response time for handling process improvement proposals,  
the number and type of recognition for process improvement activities awarded, and  
analytical reports that address the improvement of product and service quality.



## Verifying implementation

### **Verification 1      Continuous process improvement activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, continuous process improvement activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

Some examples of review subjects include:

participation in the continuous process improvement activities,  
process performance,  
needed changes in objectives,  
issues, and  
revisions to the continuous process improvement plans as appropriate.

### **Verification 2      Acquisition organization managers and project managers receive feedback on the status and results of continuous process improvement activities.**

Feedback is provided on a periodic or event-driven basis and includes:

1. A summary of the major continuous process improvement activities.
2. Significant innovations and actions taken to address continuous process improvement.
3. A summary status of process improvement proposals that are submitted, opened, and completed or closed.
4. Reports on the effectiveness of implemented process improvements.

---

# Acquisition Innovation Management

---

## *a key process area for Level 5: Optimizing*

---

The purpose of Acquisition Innovation Management is to continually improve the acquisition process through the adoption and transfer of new techniques and technologies. Acquisition innovation management is a primary responsibility of the acquisition organization; however, the adoption activity is carried out through individual acquisition projects. While the project can act by itself, the environment for adoption should be fostered and led by the acquisition organization.

Acquisition Innovation Management involves the identification, appraisal, implementation, adoption, and transfer of new techniques and technologies that support the software acquisition process. Techniques and technologies include methodologies, tools, and practices.

The focus is on improving the acquisition process through the adoption and implementation of new techniques and technologies. Adoption of new techniques and technologies is accomplished in concert with continuous process improvement (refer to the Continuous Process Improvement key process area).

Acquisition innovation management of new techniques and technologies encompasses a range of possibilities. These techniques and technologies are those which are new on the horizon or are new to the acquisition organization and have promise of providing a better and advanced acquisition process. They may range from introduction of a new technique to the project (such as automated documentation) to adoption of a new management strategy (e.g., product line) at the acquisition organization level. The acquisition organization and the project act in cooperation to implement new techniques and technologies that may provide a specific benefit to the project, as well as an overall benefit to the organization.

### Goals

---

- |               |  |
|---------------|--|
| <b>Goal 1</b> | <b>The acquisition organization improves the software acquisition process through the adoption and implementation of new techniques and technologies in a proactive, normative manner.</b> |
| <b>Goal 2</b> | <b>Participation in the acquisition innovation management process is organization-wide.</b>  |

---

## Commitment to perform

---

**Commitment 1    The acquisition organization has a written policy for acquisition innovation management activities.**

This policy typically specifies that:

1. New techniques and technologies for possible implementation in the acquisition organization's standard software acquisition process are continually appraised.
2. New techniques and technologies to determine their value, cost, risk, and benefit to the acquisition process are appraised.
3. Implementation of new techniques and technologies is managed and controlled.

**Commitment 2    Acquisition organization management sponsors, actively supports, and provides leadership for acquisition innovation management.**

---

## Ability to perform

---

**Ability 1        A group that is responsible for performing and coordinating acquisition innovation management activities for the acquisition organization exists.**

**Ability 2        Adequate resources are provided for acquisition innovation management activities.**

Resources include:

1. Funding.
2. Staff.
3. Equipment.
4. Tools.

**Ability 3        Individuals performing acquisition innovation management activities have experience.**

Experience means, for example, having had multiple acquisition management roles on several projects, understanding the application of techniques and technologies in the acquisition process, and understanding the objectives of the acquisition organization.

## Activities performed

### Activity 1

**The acquisition organization performs its activities in accordance with its documented acquisition innovation management plans.**

The plans typically cover:

1. The appraisal of new techniques and technologies to determine their applicability and appropriateness for the acquisition organization.

Some examples of new techniques and technologies include:

the use of a new documentation scheme,  
the employment of formal methods,  
the employment of new acquisition paradigms,  
the employment of asset management (reusable components),  
the implementation of software architecture managed development, and  
the use of product line implementation and management.

2. The resources required.
3. Assignment of responsibilities.
4. Review and appraisal of the acquisition innovation management activities.
5. The detailing of specific implementation and evaluation practices and procedures.
6. Preparation of process improvement proposals.

*Refer to Activities 1 and 3 of the Continuous Process Improvement key process area.*

### Activity 2

**The group responsible for conducting acquisition innovation management activities conducts routine and periodic appraisals of new techniques and technologies as candidates for inclusion in the acquisition organization's standard software acquisition process.**

New approaches and technologies are appraised to determine their effect on quality and productivity and results are reported to acquisition organization management.

*Refer to Activities 2 and 5 of the Continuous Process Improvement key process area.*

### Activity 3

**The project team performs its activities in accordance with its documented acquisition innovation management plans.**

The plans typically cover:

1. Management of the implementation process for the inclusion of the new technique or technology.
2. Implementation process of the adopted technique or technology.
3. Evaluation of the effect of the implemented technique or technology.
4. Resources needed to manage the implementation of the activity.

**Activity 4      The acquisition organization works with the projects to foster an environment which facilitates adoption of initiatives beneficial to the acquisition organization.**

**Activity 5      Software acquisition management personnel are kept informed of new technologies.**

1. Information on new techniques and technologies is made available.
2. Information on techniques and technologies already in use within the acquisition organization is disseminated.
3. Information on the status of new techniques and technologies being implemented within the acquisition organization is disseminated.

## **Measurement and analysis**

---

**Measurement 1      Measurements are made and used to determine the status of the acquisition innovation management activities and resultant products.**

Some examples of measurements include:

effort expended,  
funds expended,  
progress towards completion of acquisition innovation management improvement  
planning and appraisals of new candidate techniques and technologies, and  
completion of milestones.

**Measurement 2      Measurements are made and used to determine the effectiveness of the acquisition innovation management activities and resultant products.**

Some examples of measurements include:

the percentage of adoption and implementation of new techniques and technologies in the project's defined software acquisition process; and  
analytical reports that address identification, appraisal, implementation, and adoption of candidate techniques and technologies for inclusion in the acquisition organization's standard software acquisition process.

## Verifying implementation

---

**Verification 1**    **Acquisition innovation management activities are reviewed by acquisition organization management on a periodic basis.**

The primary purpose of these reviews by acquisition organization management is to provide awareness of, and insight into, acquisition innovation management activities at an appropriate level of abstraction and in a timely manner. The reviews verify that acquisition organization policy is being implemented. The time between reviews should satisfy the needs of the organization and may be lengthy, as long as adequate mechanisms for exception reporting are available.

**Verification 2**    **Acquisition innovation management activities are reviewed by the project manager on both a periodic and event-driven basis.**

This page intentionally left blank.

---

## Appendix A: Background Documents

---

The following documents were consulted during the development of the SA-CMM. Many are the result of unpublished research and are not publicly available.

Buley, Dr. Ernest R. *The Acquisition Capability Assessment* (MTR 92W0000197V1). McLean, Va.: The MITRE Corporation, October 1992.

Clapp, Judith and Clark, Eileen. *A Study of the Feasibility of Using a Software Acquisition Maturity Model in the Department of Defense*: The MITRE Corporation, September 1992.

Creps, Richard E., et al. *The Stars Conceptual Framework for Reuse Processes*: November 1992.

Ferguson, Jack R. and DeRiso, Michael E. *Software Acquisition: A Comparison of DoD and Commercial Practices* (CMU/SEI-94-SR-9). Pittsburgh, Pa.: Software Engineering Institute, Carnegie Mellon University, October 1994.

Marciniak, John and Reifer, Donald. *Software Acquisition Management*: John Wiley & Sons, 1989.

Masters Thesis. *The Adaptation of the SEI's Capability Maturity Model to the Air Force Software Acquisition Management Process*: Air Force Institute of Technology, December 1992.

Paulk, Mark C., et al. *Capability Maturity Model for Software*, Version 1.1 (CMU/SEI-94-TR-24 ADA263403). Pittsburgh, Pa.: Software Engineering Institute, Carnegie Mellon University, 1994.

Saunders, Thomas F., et al. *A New Process for Acquiring Software Architecture* (MTR 92B0000126). Bedford, Ma.: The MITRE Corporation, November 1992.

Sherer, S. Wayne and Cooper, Jack. *The Five Levels of Software Acquisition Maturity*. Picatinny Arsenal, N.J.: U.S. Army, Armament Research, Development, and Engineering Center, September 1994.

Software Engineering Institute. *Software Acquisition Maturity Model Feasibility Study*, Comment Resolutions: April 1994.

U.S. Army Life Cycle Software Engineering Centers. *Software Process Assessments, Finding Reports*: 1992.

U.S. General Accounting Office. *Information Technology: An Audit Guide for Assessing Acquisition Risks* (GAO/IMTEC 8.1.4): December 1992.



---

## Background Documents

---

U.S. General Accounting Office. *Information Technology: A Model to Help Managers Decrease Acquisition Risks* (GAO/IMTEC 8.1.6): August 1990.

U.S. Navy, Naval Air Systems Command. *Software Acquisition Management Maturity Model*, Draft: September 1992.

Zanfagna, Thomas J., et al. *System Acquisition Capability Maturity Model, User's Manual* (MTR 92W0000154). McLean, Va.: The MITRE Corporation, July 1992.

---

## Appendix B: Glossary of Terms

---

*acceptance criteria* - The criteria that a system or component must satisfy in order to be accepted by a user, customer, or other authorized entity [IEEE-STD-610].

*acceptance testing* - Formal testing conducted to determine whether or not a system satisfies its acceptance criteria and to enable the customer to determine whether or not to accept the system [IEEE-STD-610].

*acquisition* - The process of obtaining through contract.

*acquisition organization* - That entity which has the oversight responsibility for the software acquisition project and which may have purview over the acquisition activities of a number of projects or contract actions.

*acquisition organization's standard software acquisition process* - (See *software acquisition process*.)

*activity* - Any step taken or function performed, either mental or physical, toward achieving some objective. Activities include all the work the managers and technical staff do to perform the tasks of the project and organization.

*application domain* - A bounded set of related systems (i.e., systems that address a particular type of problem). Development and maintenance in an application domain usually require special skills and/or resources. Examples include payroll and personnel systems, avionics, command and control systems, compilers, and expert systems.

*appraise* - To evaluate the worth, significance, or status of.

*attributes (of software)* - Characteristics of software such as reliability, maintainability, portability, and complexity. These characteristics are sometimes referred to as quality attributes.

*baseline* - A specification or product that has been formally reviewed and agreed upon, that thereafter serves as the basis for further development, and that can be changed only through formal change control procedures [IEEE-STD-610].

*capability maturity model* - A description of the stages through which organizations evolve as they define, implement, measure, control, and improve their processes. The model provides a guide for selecting process improvement strategies by facilitating the determination of current process capabilities and the identification of the issues most critical to quality and process improvement.

---

## Glossary of Terms

---

*causal analysis* - The analysis of defects to determine their underlying root cause.

*change control* - The review, approval/disapproval, implementation, tracking, closure, and status reporting of proposed changes to an item (change management).

*commitment* - A pact that is freely assumed, visible, and expected to be kept by all parties.

*common features* - The subdivision categories of the SA-CMM key process areas. The common features are attributes that indicate whether the implementation and institutionalization of a key process area can be effective, repeatable, and lasting. The SA-CMM's common features are the following: Commitment to perform, Ability to perform, Activities performed, Measurement and analysis, and Verifying implementation.

*configuration* - In configuration management, the functional and physical characteristics of hardware or software as set forth in technical documentation or achieved in a product [IEEE-STD-610].

*configuration management* - A discipline applying technical and administrative direction and surveillance to identify and document the functional and physical characteristics of a configuration item, control changes to those characteristics, record and report change processing and implementation status, and verify compliance with specified requirements [IEEE-STD-610].

*consistency* - The degree of uniformity, standardization, and freedom from contradiction among the documents or parts of a system or component [IEEE-STD-610].

*contract* - A binding agreement between two or more parties that establishes the requirements for the products and services to be acquired.

*contract integrity* - The adherence and compliance to contractual and legal policies, regulations, and other guidance.

*contract terms and conditions* - The stated legal, financial, and administrative aspects of a contract.

*contractor* - The entity delivering the product or performing the service being acquired, even if that entity is part of the acquiring organization.

*critical paths* - A series of dependent tasks for a project that must be completed as planned to keep the entire project on schedule.

*defect* - A flaw in a system or system component that causes the system or component to fail to perform a required function.

*defined level* - (See *maturity level*.)

*defined software acquisition process* - (See *software acquisition process*.)

*deliverable* - A product that is required by the contract to be delivered to the acquirer or other designated recipient.

*deviation* - A noticeable or marked departure from the appropriate norm, plan, standard, procedure, or variable being reviewed.

*effective* - Adequate to accomplish the intended purpose.

*end user* - The individual or group who will use the system for its intended operational use when it is deployed in its environment.

*end user representatives* - A selected sample of end users who represent the total population of end users.

*evaluation* - The use of reviews, inspections, and/or tests, to determine that a software product or service satisfies specified requirements.

*event-driven basis* - A review that is performed based on the occurrence of an event within the project (e.g., a formal review or the completion of a life cycle stage). (See *periodic review* for contrast.)

*findings* - The conclusions of an assessment, evaluation, audit, or review that identify the most important issues, problems, or opportunities within the area of investigation.

*function* - A set of related actions, undertaken by individuals or tools that are specifically assigned or fitted for their roles, to accomplish a set purpose or end.

*goals* - The aggregate result achieved by the effective implementation of the common features of a key process area. The goals signify the scope and intent of each key process area.

*group* - An assemblage of personnel organized to serve a specific purpose or accomplish a task. A group may vary from a single individual assigned part time, to several part-time individuals assigned from other organizations, to several individuals dedicated full-time.

*initial level* - (See *maturity level*.)

*institutionalization* - The building of infrastructure and corporate culture that supports methods, practices, and procedures so that they are the ongoing way of doing business, even after those who originally defined them are gone.

---

## Glossary of Terms

---

*instrumentation* - The application of instruments (or metrics) for observation, measurement, or control.

*key process area* - A cluster of related activities in an area of software acquisition that, when performed collectively, achieve a set of goals considered important for establishing process capability in that area. The key process areas have been defined to reside at a single maturity level. These are the principal building blocks to help determine the software acquisition process capability of an organization and understand the improvements needed to advance to higher maturity levels.

*life cycle* - (See *software life cycle*.)

*managed and controlled* - Implies that the version of the work product in use at a given time (past or present) is known (i.e., version control), and changes are incorporated in a controlled manner (i.e., change control).

*manager* - A role that encompasses providing technical and administrative direction and control to individuals performing tasks or activities within the manager's area of responsibility. The traditional functions of a manager include planning, resourcing, organizing, directing, and controlling work within an area of responsibility.

*maturity level* - A well-defined evolutionary plateau toward achieving a mature software acquisition process. The five maturity levels in the SA-CMM are Initial, Repeatable, Defined, Quantitative, and Optimizing.

*measure* - To ascertain the characteristics or features (extent, dimension, quantity, capacity, and capability) of something, especially by comparing with a standard.

*measurement* - The dimension, capacity, quantity, or amount of something (e.g., 300 source lines of code or seven document pages of design).

*method* - A reasonably complete set of rules and criteria that establishes a precise and repeatable way of performing a task and arriving at a desired result.

*methodology* - A collection of methods, procedures, and standards that defines an integrated synthesis of approaches.

*milestone* - A scheduled event for which some individual is accountable and that is used to measure progress.

*non-developmental item* - An item of software that is available for delivery and acceptance prior to award of the contract.

*non-technical software requirements* - Contractual agreements, conditions, and terms that affect the activities or products of the software acquisition project.

*offeror* - A contractor who submits a proposal in response to a solicitation package.

*optimizing level* - (See *maturity level*.)

*organization* - The parent organization of the acquisition organization.

*organization's measurement program* - The set of related elements for addressing an organization's measurement needs. It includes the definition of organization-wide measurements, methods and practices for collecting organizational measurements and analyzing data, and measurement goals for the organization.

*orientation* - An overview or introduction to a topic.

*peer review* - A review of a software work product, following defined procedures, by peers of the product's producers for the purpose of identifying defects and improvements.

*periodic review* - A review that occurs at specified regular time intervals. (See *event-driven basis* for contrast.)

*policy* - A guiding principle, typically established by senior management, that is adopted by an organization or project to influence decisions.

*prime contractor* - An individual, partnership, corporation, or association that administers a subcontract to design, develop, and/or manufacture one or more products.

*procedure* - A written description of a course of action to be taken to perform a given task [IEEE-STD-610].

*process* - A set of activities performed for a given purpose (e.g., the software acquisition process).

*process capability* - The range of expected results that can be achieved by following a process. (See *process performance* for contrast.)

*process capability baseline* - A documented characterization of the range of expected results that would normally be achieved by following a specific process under typical circumstances. A process capability baseline is typically established at an organizational level. (See *process performance baseline* for contrast.)

---

## Glossary of Terms

---

*process descriptions* - Documentation that specifies, in a complete, precise, verifiable manner, the requirements, design, behavior, or other characteristics of a process. It may also include the procedures for determining whether these provisions have been satisfied.

*process measurement* - The set of definitions, methods, and activities used to take measurements of a process and its resulting products for the purpose of characterizing and understanding the process.

*process performance* - A measure of the actual results achieved by following a process. (See *process capability* for contrast.)

*process performance baseline* - A documented characterization of the actual results achieved by following a process. A process performance baseline is typically established at the project level, although the initial process performance baseline will usually be derived from the process capability baseline. (See *process capability baseline* for contrast.)

*project* - An undertaking that is focused on acquiring a specific product. The product may include hardware, software, and services. Typically, a project has its own funding, cost accounting, and delivery schedule.

*project manager* - The role with total business responsibility for an entire project; the individual who directs, controls, administers, and regulates a project acquiring software, a hardware/software system, or services. The project manager is the individual ultimately responsible to the end user.

*project office* - The aggregate of individuals assigned the primary responsibility for software acquisition in the contracted effort. A project office may vary in size from a single individual assigned part time to a large organization assigned full time.

*project team* - All individuals that have an assigned software acquisition responsibility in the contracted effort. A project team may vary in size from a single individual assigned part time to a large organization assigned full time.

*project's defined software acquisition process* - (See *software acquisition process*.)

*quality* - (1) The degree to which a system or system component meets specified requirements. (2) The degree to which a system or system component meets user needs or expectations [IEEE-STD-610].

*quality assurance* - (See *software quality assurance*.)

*quantitative control* - Any quantitative or statistically-based technique appropriate to analyze a software acquisition process, identify special causes of variations in the performance of the

software acquisition process, and bring the performance of the software acquisition process within well-defined limits.

*quantitative level* - (See *maturity level*.)

*repeatable level* - (See *maturity level*.)

*required training* -. Training required by the acquisition organization. (See *training* for contrast.)

*risk* - Uncertainty of achieving expectations.

*risk management* - The process associated with identifying, evaluating, mitigating, and controlling project risks.

*role* - A unit of defined responsibilities that may be assumed by one or more individuals.

*software acquisition management personnel* - Those individuals who are trained, educated, or experienced in software acquisition management and who are either assigned to or support the project team in the performance of software acquisition activities.

*software acquisition plans* - The collection of plans, both formal and informal, used to express how software acquisition activities will be performed; for example, the Software Acquisition Risk Management Plan or Project Management Plan.

*software acquisition process* - A set of activities, methods, practices, and transformations that people use to acquire software and the associated products.

- ▶ *acquisition organization's standard software acquisition process* - The acquisition organization's fundamental software acquisition process which guides the establishment of each project's defined software acquisition process.
- ▶ *project's defined software acquisition process* - The project's tailored version of the acquisition organization's standard software acquisition process.

*software acquisition process assets* - A collection of entities, maintained by an organization, for use by projects in developing, tailoring, maintaining, and implementing their software acquisition processes.

Some examples of these software acquisition process assets include:

the acquisition organization's standard software acquisition process,  
descriptions of the software life cycles approved for use,



---

## Glossary of Terms

---

the guidelines and criteria for tailoring the acquisition organization's standard software acquisition process,  
the organization's software acquisition process database, and  
a library of software acquisition process-related documentation.

Any entity that the organization considers useful in performing the activities of process definition and maintenance could be included as a process asset.

*software acquisition process group* - This group is responsible for the definition, improvement, and maintenance of the acquisition organization's standard software acquisition process and related process assets, including guidelines for all projects to tailor the standard software acquisition process to their specific situations. It coordinates process activities with the software projects and related elements of the organization.

*software acquisition process-related documentation* - Documents and document fragments that may be of use to future project teams when tailoring the acquisition organization's standard software acquisition process. The examples may cover subjects such as a project's defined software acquisition process, standards, procedures, software acquisition risk management plans, and training materials.

*software acquisition process repository* - A collection of software acquisition process information (e.g., estimated and actual data on software project size, effort, and cost; and project team productivity and quality data) gathered from the software acquisition projects that is maintained by the acquisition organization to support its software acquisition definition and improvement activities.

*software acquisition project* - An undertaking that is focused on acquiring the software components and associated documentation of a system. A software project may be part of a project building a hardware/software system.

*software acquisition-related group* - A collection of individuals (both managers and technical staff) representing a software discipline that supports, but is not directly responsible for, software acquisition. Examples of software disciplines include software configuration management and software quality assurance.

*software architecture* - The organizational structure of the software or module [IEEE-STD-610].

*software engineering group* - The collection of individuals (both managers and technical staff) who have responsibility for software development and maintenance activities (i.e., requirements analysis, design, code, and test) for a project. Groups performing software-related work, such as the software quality assurance group and the software configuration management group, are not included in the software engineering group.

*software engineering personnel* - Those individuals who are trained, educated, or experienced in software engineering and who are either assigned to or support the project team in the performance of software acquisition activities.

*software life cycle* - The period of time that begins when a software product is conceived and ends when the software is no longer available for use. The software life cycle typically includes a concept phase, requirements phase, design phase, implementation phase, test phase, installation and checkout phase, operation and maintenance phase, and, sometimes, retirement phase [IEEE-STD-610].

*software quality assurance* - (1) A planned and systematic pattern of all actions necessary to provide adequate confidence that a software work product conforms to established technical requirements. (2) A set of activities designed to evaluate the process by which software work products are developed and/or maintained.

*software-related contractual requirements* - All technical and non-technical requirements related to the software portion of the acquisition.

*software support* - The process of modifying a software system or component after delivery to correct faults, improve performance or other attributes, or adapt to a changed environment. [IEEE-STD-610]

*solicitation package* - When seeking suppliers for a particular acquisition, it is the information distributed which tells the interested bidders what the requirements are, how to prepare their proposals, how proposals will be evaluated, and when to submit their proposals. Sometimes called Request for Proposals (RFP).

*standard* - Mandatory requirements employed and enforced to prescribe a disciplined uniform approach to software development or acquisition.

*standard software acquisition process* - (See *software acquisition process*.)

*statement of work* - A description of all the work required to complete a project, which is provided by the customer.

*subcontractor* - An individual, partnership, corporation, or association that contracts with an organization (i.e., the prime contractor) to design, develop, and/or manufacture one or more products.

*system requirement* - A condition or capability that must be met or possessed by a system or system component to satisfy a condition or capability needed by a user to solve a problem [IEEE-STD-610].

---

## Glossary of Terms

---

*system requirements allocated to software* - The subset of the system requirements that are to be implemented in the software components of the system.

*tailor* - To modify a process, standard, or procedure to better match process or product requirements.

*technical software requirements* - The system requirements allocated to software.

*technology* - The application of science and/or engineering in accomplishing a particular result.

*traceability* - The ability to trace, in both the forward and backward directions, the lineage of a requirement from its first level inception and subsequent refinement to its implementation in a software product and the documentation associated with the software product.

*training* - Project team training. (See *required training* for contrast.)

*training group* - The collection of individuals (both managers and staff) who are responsible for coordinating and arranging the training activities for an organization. This group typically prepares and conducts most of the training courses and coordinates use of other training vehicles.

*training program* - The set of related elements that focuses on addressing an organization's training needs. It includes an organization's training plan, training materials, development of training, conduct of training, training facilities, evaluation of training, and maintenance of training records.

*transition* - The process of transferring responsibility for the acquired software products from the project manager to the software support organization.

*user* - (See *end user*.)

*verify* - To prove to be true by demonstration, evidence, or testimony.

*waiver* - A document stating a cancellation or reduction of a requirement.

*written procedure* - (See *procedure*.)

This page intentionally left blank.

---

---

## **Appendix C: Summary of Key Process Areas**

This appendix provides a summary of each of the SA-CMM key process areas. It can be used to get a "quick look" at each key process area through its introduction, goals, and top-level activities. It does not provide the institutionalization features (i.e., Commitment to perform, Ability to perform, Measurement and analysis, and Verifying implementation) or the details within the activities. It is intended for informational purposes, not for determining compliance with the requirements of the key process areas.

The institutionalization features must be in place to ensure that the key process areas are implemented appropriately and effectively, are solidly established, will be maintained over time, and can be applied successfully to new projects. Commitment to perform involves establishing organizational policies and management sponsorship. Ability to perform involves providing resources, organizational structures, and training. Measurement and analysis includes examples of measurements that could be taken to determine the status and effectiveness of the Activities performed. Verifying implementation encompasses reviews by management.

To appropriately establish a key process area, the full set of common features and the detailed activities must be used.

## **Level 1: The Initial Level**

There are no key process areas at Level 1.

This page intentionally left blank.

## **Level 2: Software Acquisition Planning**

The purpose of Software Acquisition Planning is to ensure that reasonable planning for the software acquisition is conducted and that all elements of the project are included.

Software Acquisition Planning involves the preparation for software-related areas in system level planning such as early budgetary action, schedule determination, acquisition strategy, risk identification, and software requirements definition. There are other traditional software acquisition planning activities that must be performed in the context of the system as a whole and in coordination with the project team (e.g., system requirements development, hardware/software partitioning, system level software requirements allocation, and solicitation management). Software Acquisition Planning also involves planning all aspects of the software acquisition project. Software acquisition planning documentation provides for implementation of all software acquisition-related policies.

Software acquisition planning begins with the earliest identification of a role for software in the system to be acquired. The process starts when reasonable resources are assigned to form a project team for the acquisition, independent of whether or not the team is formally constituted as an organizational entity. Software acquisition planning provides for conducting and documenting software acquisition planning activities and participation in system level planning activities as appropriate.



**The goals of Software Acquisition Planning are:**

1. Software acquisition planning documents are prepared early in the acquisition process and prior to contractual actions to acquire software products and services.
2. Software acquisition plans encompass the total software acquisition effort.

**The top-level activities performed for Software Acquisition Planning are:**

1. Software acquisition planning personnel are involved in system acquisition planning.
2. The software acquisition strategy for the project is developed and documented.
3. The project's software acquisition planning is documented and the planning documentation is maintained over the life of the project.
4. Life cycle support of the software is included in software acquisition planning documentation.
5. Life cycle cost and schedule estimates for the software products and services being acquired are prepared and independently reviewed.

## **Level 2: Solicitation**

The purpose of Solicitation is to prepare a solicitation package that identifies the needs of a particular acquisition and to select a contractor who is best capable of satisfying the requirements of the contract.

Solicitation involves planning and performing the activities necessary to issue the solicitation package, preparing for the evaluation of responses, conducting the evaluation, conducting negotiations, and awarding the contract. Solicitation ends with contract award.

**The goals of Solicitation are:**

1. The selection official selects a contractor who is qualified to satisfy the contract's requirements for the project's software-related products and services.
2. Solicitation activities are conducted in a manner compliant with relevant laws, regulations, policies, and guidance.
3. The software portion of the solicitation package satisfies the needs of the acquisition.

**The top-level activities performed for Solicitation are:**

1. The project team performs its activities in accordance with its documented solicitation plans.
2. The project team performs its activities in accordance with its documented proposal evaluation plans.
3. Cost and schedule estimates for the software products and services being sought are prepared.
4. Software cost and schedule estimates are independently reviewed for comprehensiveness and realism.
5. The project team takes action to ensure the mutual understanding of software requirements and plans prior to contract award.

## **Level 2: Requirements Development and Management**

The purpose of Requirements Development and Management is to establish a common and unambiguous definition of software-related contractual requirements that is understood by the project team, end user, and the contractor. Software-related contractual requirements consist of technical requirements (system requirements allocated to software) and non-technical requirements (contractual agreements, conditions, and terms affecting the software portion of the acquisition). This key process area is divided into two subprocesses; development of software-related contractual requirements and the management of these requirements for the duration of the acquisition.

Software requirements development involves those activities in which system level requirements are decomposed and allocated to software. To ensure software is appropriately addressed during system requirements definition and solicitation package preparation, the project team participates with the overall system acquisition team. This activity often involves direct participation from the end user to ensure that system-level requirements are well understood.

Software requirements management involves establishing and maintaining agreement among the project team, including the end user, and contractor with respect to the software-related contractual requirements. It involves baselining the software requirements and controlling all subsequent requirements changes. The contract and this key process area address both technical and non-technical software requirements.

Requirements development and management begins with the translation of operational or end user requirements into solicitation documentation (e.g., specifications) and ends with the transfer of responsibility for the support of the software products.

Software-related contractual requirements define the scope of the software effort. Software-related contractual requirements are incorporated into software project plans, activities, and products in an orderly manner. Requirements management ensures that software requirements are unambiguous, traceable, verifiable, documented, and controlled.

**The goals of Requirements Development and Management are:**

1. Software-related contractual requirements are developed and maintained in conjunction with the end user and other affected groups.
2. Software-related contractual requirements are unambiguous, traceable, and verifiable.
3. The software-related contractual requirements baseline is established and managed.

**The top-level activities performed for Requirements Development and Management are:**

1. The project team performs its activities in accordance with its documented requirements development and management plans.
2. The project team develops and baselines the software-related contractual requirements and places them under change control early in the project, but not later than release of the solicitation package.
3. The project team appraises system requirements change requests for their impact on the software being acquired.
4. The project team appraises all changes to the software-related contractual requirements for their impact on performance, architecture, supportability, system resource utilization, and contract schedule and cost.
5. Bi-directional traceability between the software-related contractual requirements and the contractor's software work products and services is maintained throughout the effort.

## **Level 2: Project Management**

The purpose of Project Management is to manage the activities of the project office and supporting contract(s) to ensure a timely, efficient, and effective software acquisition.

Project Management involves planning, organizing, staffing, directing, and controlling project office activities, such as determining project tasks, estimating software size and cost, scheduling activities and tasks, training, leading the assigned personnel, and accepting software products and services.

Project management begins when the project office is officially chartered and terminates when the acquisition is completed.

**The goals of Project Management are:**

1. Project management activities provide effective management control of the software acquisition project.
2. The performance, cost, and schedule objectives of the software acquisition project are defined, measured, and controlled throughout the software acquisition.
3. Problems discovered during the software acquisition are managed and controlled.

**The top-level activities performed for Project Management are:**

1. The project team performs its activities in accordance with its documented software acquisition management plans.
2. The organization of the project provides for the management of all project functions.
3. The software acquisition management activities of the project team are directed to accomplish the project's objectives.
4. The software acquisition management activities of the project team are controlled.
5. The project team implements a corrective action system for the identification, recording, tracking, and correction of problems discovered during the software acquisition.
6. The project team tracks project status, execution, funding, and expenditures and takes action.

## **Level 2: Contract Tracking and Oversight**

The purpose of Contract Tracking and Oversight is to ensure that the software activities under contract are being performed in accordance with contractual requirements, and that evolving products and services will satisfy contractual requirements.

Contract Tracking and Oversight involves providing ongoing inputs and guidance to the contractor's effort and identifies risks and problems in the effort.

Contract tracking and oversight begins with the award of the contract and ends at the conclusion of the contract's period of performance.

The contract provides the binding agreement for establishing the requirements for the software products and services to be acquired. It establishes the mechanism to allow the project team to oversee the contractor's software activities and evolving products and to evaluate any software products and services being acquired. It also provides the vehicle for mutual understanding between the project team and the contractor of the software requirements of the contract.



**The goals of Contract Tracking and Oversight are:**

1. The acquired software products and services satisfy contractual requirements.
2. The contractor's software engineering effort complies with contract requirements.
3. The project team and contractor maintain ongoing communication and commitments are agreed to by both parties.
4. The contract, and any changes, adhere to relevant laws, policies, regulations, and other planned guidance and is consistent with project software acquisition requirements.

**The top-level activities performed for Contract Tracking and Oversight are:**

1. The project team performs its activities in accordance with its documented contract tracking and oversight plans.
2. The project team reviews required contractor software planning documents which, when satisfactory, are used to oversee the contractor's software engineering effort.
3. The project team conducts periodic reviews and interchanges with the contractor.
4. The project team reviews and tracks the development of the software engineering environment required to provide life cycle support for the acquired software.
5. Any problems or issues found by the project team during contract tracking and oversight are recorded in the appropriate corrective action system and tracked to closure.
6. The project team maintains the integrity of the contract throughout the contract performance period.

## **Level 2: Evaluation**

The purpose of Evaluation is to determine that the acquired software products and services satisfy contract requirements prior to acceptance and transition to support.

Evaluation involves the development of technical and non-technical requirements for the evaluation approach, including acceptance criteria, which are incorporated into both the solicitation package and the contract. Evaluations are conducted during contract performance and results are analyzed to determine acceptability of the software products and services. Evaluation activities are designed to reduce interference with contractor-performed evaluations and to reduce duplication of evaluation efforts. Evaluation builds on the activities that establish and verify the contractual requirements. Evaluation interacts with the Contract Tracking and Oversight key process area.

Evaluation begins with development of the system requirements and ends when the software acquisition is completed.

**The goals of Evaluation are:**

1. Evaluations provide an objective basis to support the decision for acceptance of the software products and services.
2. Evaluations are planned to provide an integrated approach which satisfies all evaluation requirements and maximizes efficiency of the activities.

**The top-level activities performed for Evaluation are:**

1. The project team performs its activities in accordance with its documented evaluation plans.
2. The project's evaluation requirements are developed in conjunction with the development of the system or software technical requirements.
3. The evaluation requirements are incorporated into the solicitation package and resulting contract.
4. The project team assesses contractor's performance for compliance with evaluation requirements.
5. Planned evaluations are performed on the acquired software products and services prior to acceptance for operational use.
6. Results of the evaluations are analyzed and compared to the contract's requirements to establish an objective basis to support the decision to accept the products and services or to take further action.

## **Level 2: Transition to Support**

The purpose of Transition to Support is to provide for the transition of the software products being acquired to the eventual software support organization. The necessary resources are identified, budgeted for, and are available when needed. The designated software support organization is fully prepared to accept responsibility for the software products in time to ensure uninterrupted support.

Transition to Support involves developing and implementing the plans for transitioning the acquired software products. It also involves ensuring that the contractor and the software support organization are informed on the contents of the software engineering and support environments. The project team provides for an orderly, smooth transition of the software products from the contractor to the software support organization.

Transition to support begins with the earliest definition of software requirements and ends when the responsibility for the software products is turned over to the software support organization.

**The goals of Transition to Support are:**

1. The software support organization has the capacity to provide the required support upon assumption of responsibility for the software products.
2. There is no loss in continuity of support to the software products during transition from the contractor to the software support organization.
3. Configuration management is maintained throughout the transition.

**The top-level activities performed for Transition to Support are:**

1. The project team performs its activities in accordance with its documented transition to support plans.
2. Responsibility for the software products is transferred only after the software support organization demonstrates its capability to modify and support the software products.
3. The project team oversees the configuration control of the software products throughout the transition.

## **Level 3: Process Definition and Maintenance**

The purpose of Process Definition and Maintenance is to establish the acquisition organization's standard software acquisition process and an organizational responsibility for stabilizing and maintaining the standard software acquisition process.

Process Definition and Maintenance involves understanding the organization's and projects' software acquisition processes, collecting a set of software acquisition process assets, and coordinating efforts to appraise and improve software acquisition processes.

The acquisition organization provides the long-term commitments and resources to establish and maintain a software acquisition process group. This group is responsible for the definition, maintenance, and improvement of the acquisition organization's standard software acquisition process and other process assets, including guidelines for all projects to tailor the standard software acquisition process to their specific situations. It coordinates process activities with the software projects and related elements of the organization.

**The goals of Process Definition and Maintenance are:**

1. A standard software acquisition process for the acquisition organization is defined, managed, and controlled.
2. Process definition and maintenance activities are coordinated across the acquisition organization.
3. Information relating to the use of the acquisition organization's standard software acquisition process by the software acquisition projects is collected, analyzed, and made accessible.

**The top-level activities performed for Process Definition and Maintenance are:**

1. The acquisition organization performs its activities in accordance with its documented process definition and maintenance plans.
2. The acquisition organization's standard software acquisition process is defined and maintained in accordance with its documented process definition and maintenance plans.
3. The acquisition organization's standard software acquisition process is appraised periodically and action plans developed to address the findings of the appraisal.
4. The acquisition organization's and projects' activities for defining and maintaining their software acquisition processes are coordinated at the organization level.
5. Guidelines and criteria for a project's selection and tailoring of the acquisition organization's standard software acquisition process are developed and maintained.
6. An organizational repository of software acquisition process information is established, managed, controlled, and maintained to support process definition and maintenance activities.
7. Project teams are informed of the acquisition organization's and projects' activities for process definition and maintenance.

## **Level 3: Project Performance Management**

The purpose of Project Performance Management is to manage the software acquisition project according to a defined software acquisition process.

Project Performance Management involves developing the project's defined software acquisition process and managing the acquisition using this defined process. The project's defined software acquisition process is tailored from the acquisition organization's standard software acquisition process to address specific attributes of the project.

The project's management plans are based on the project's defined software acquisition process. These plans describe how the project's defined software acquisition process will be implemented and managed.

The basic practices for estimating, planning, and tracking a software acquisition project are established in the Software Acquisition Planning, Project Management, and Contract Tracking and Oversight key process areas. The emphasis in Project Performance Management at Level 3 shifts from reacting to acquisition problems and issues to anticipating these problems and acting to mitigate the risk.



**The goals of Project Performance Management are:**

1. The project is managed according to a coherent defined software acquisition process.
2. Effective communication and teamwork among affected groups exists.
3. An integrated management approach is used to achieve project management's software acquisition objectives.

**The top-level activities performed for Project Performance Management are:**

1. The project's defined software acquisition process is developed and documented by tailoring the acquisition organization's standard software acquisition process according to the organization's tailoring guidelines.
2. The project team develops and maintains the Project Management Plan in accordance with the acquisition organization's standard software acquisition process.
3. The project team's software acquisition management activities are performed in accordance with the Project Management Plan.
4. The project's defined software acquisition process is revised as required to remain consistent with current project objectives.
5. The project team coordinates its activities with other organizations and activities supporting the project.
6. The acquisition organization's software acquisition process repository is used for project planning, estimating, and management.
7. Critical dependencies are identified, negotiated, and managed.
8. The project team performs periodic reviews to ensure current and projected needs of the end user will be satisfied.
9. Measurements are used to determine project team performance and trends analyzed.
10. The project team identifies and analyzes risks and identifies specific risk handling actions for those risks.
11. The project team's software acquisition lessons learned are identified, documented, and entered into the acquisition organization's software acquisition process repository.

## **Level 3: Contract Performance Management**

The purpose of Contract Performance Management is to implement a defined contract management process, the objective of which is to acquire software products and services that satisfy contract requirements.

Contract Performance Management involves appraising the contractor's software engineering performance and the quality of the evolving products and ongoing services. Based on the results of the appraisals, the acquisition may be adjusted. The process includes evaluation of final products and services to determine satisfaction of contractual requirements. The emphasis in contract performance management is to be proactive regarding contractor performance and contract compliance issues and to minimize the effects of these issues. Additional activities include contributing to the project's risk management activities, fostering an environment of mutual cooperation with the contractor, and identifying improvements to the contract performance management process.

The contract performance management process integrates contract performance management activities with other project management activities. Contract Performance Management builds on the Contract Tracking and Oversight and Evaluation key process areas. Contract performance management begins when the contract is awarded and ends at the conclusion of the contract's period of performance.

**The goals of Contract Performance Management are:**

1. Contract performance management activities are conducted in a manner that ensures satisfaction of software contractual requirements.
2. The quality of contractor performance, products, and services is appraised throughout the contract's period of performance to identify risks and take action to mitigate those risks as early as possible.
3. A cooperative and productive environment among the project team, the end user, and the contractor exists.

**The top-level activities performed for Contract Performance Management are:**

1. The project team performs its activities in accordance with its documented contract performance management plans.
2. The contractor's software engineering process is appraised according to the project's defined software acquisition process.
3. Results of the contractor's engineering activities are appraised according to the project's defined software acquisition process.
4. Measurements are used to appraise the contractor's performance and trends analyzed.
5. As understanding of the software engineering process, products, and services improves, the project team may propose changes to the software products or services, process descriptions, plans, and activities.
6. The end user periodically participates in the evaluation of evolving software products and services to determine the satisfaction of operational requirements.
7. Contract performance management activities are performed to foster a cooperative environment between the project team and the contractor.

## **Level 3: Acquisition Risk Management**

The purpose of Acquisition Risk Management is to identify risks as early as possible, adjust the acquisition strategy to manage those risks, and develop and implement a risk management process as an integral part of the acquisition organization's standard software acquisition process.

Acquisition risk management begins with the process of defining the system need and terminates when the software acquisition is completed. Acquisition risk management becomes an integral part of the solicitation, project performance management, and contract performance management processes.

Acquisition risk management is a two-part process. First, the software acquisition strategy identifies the risks associated with the acquisition of the system and the approach is planned based on those risks. Second, a process is employed to manage the risks throughout the acquisition.

Risk identification includes categorization of the risk based on historical data and estimates to determine the impact of each risk on quality, performance, schedule, and cost. The risks are analyzed to determine their impact on acquisition strategy and software engineering. Analysis includes determining the driver of each risk area and the impact of the risk so that risk handling strategies may be proposed and tested.

Acquisition risk management is planned through the Software Acquisition Risk Management Plan which details the processes to take place in acquisition planning and software acquisition management. The Software Acquisition Risk Management Plan describes the overt management actions and procedures to identify, analyze, and rank order risks, and the risk handling methods to be applied.

**The goals of Acquisition Risk Management are:**

1. Software acquisition risk management is an integral part of the project's defined software acquisition process.
2. The project identifies and deals with risk in a positive manner, such that identification is recognized and rewarded, and results in effective risk handling.

**The top-level activities performed for Acquisition Risk Management are:**

1. Software acquisition risk management activities are integrated into software acquisition planning.
2. The Software Acquisition Risk Management Plan is developed in accordance with the project's defined software acquisition process.
3. The project team performs its software acquisition risk management activities in accordance with its documented plans.
4. Risk management is conducted as an integral part of the solicitation, project performance management, and contract performance management processes.
5. Software acquisition risk handling actions are tracked and controlled until the risks are mitigated.

## **Level 3: Training Program**

The purpose of Training Program is to develop the skills and knowledge of individuals so they can perform their software acquisition roles effectively and efficiently.

Training Program involves appraisal of training requirements at the acquisition organization, project, and individual levels. The acquisition organization surveys its current and future skill needs and determines how these skills will be obtained. Current weaknesses of the acquisition organization are understood and plans are developed to systematically address the weaknesses.

Some skills are effectively and efficiently imparted through informal vehicles, whereas other skills need more formal training vehicles to be effectively and efficiently imparted. The appropriate vehicles are selected and used.

Members of the acquisition organization are schooled in the standard software acquisition process, the project, the domain, and in the skills and knowledge needed to perform their jobs effectively. Members effectively use, or are prepared to use, the capabilities and features of the existing and planned work environment. The project teams become more effective through a better understanding of their work processes.

This key process area covers the group that is performing the organization's training function. The processes identifying specific training topics (i.e., knowledge or skills needed) are contained in the common feature "Ability to perform" of the individual key process areas.

**The goals of Training Program are:**

1. Training Program activities are planned.
2. Required training is identified and provided.
3. The Training Program fully supports the acquisition organization's standard software acquisition process.

**The top-level activities performed for Training Program:**

1. The organization's training program is developed and maintained.
2. Each software acquisition project identifies specific training needs and develops a training plan in accordance with training program procedures.
3. Software training for the project team is performed in accordance with the organization's training program.
4. A waiver procedure for required training is established and used to determine whether individuals already possess the knowledge and skills required to perform their designated roles.
5. Training records are maintained.
6. Measurements are used to determine the quality of the training program.

## **Level 4: Quantitative Process Management**

The purpose of Quantitative Process Management is to control the process performance of the software acquisition. Projects fully implementing quantitative process management will have stable processes that are under quantitative control.

Quantitative Process Management involves each project team setting performance objectives, measuring performance, analyzing results, and making adjustments to maintain performance within acceptable limits. Process performance variations (i.e., variations attributable to specific implementations of the process) are measured and actions taken to bring the process performance within acceptable limits. When the project team's process performance is stabilized within acceptable limits, the defined software acquisition process, the associated measurements, and the acceptable performance limits are baselined to permit quantitative control of the project team's process performance.

The acquisition organization collects process performance data from the software acquisition projects and uses these data to assess the capability of its standard software acquisition process (see the Process Definition and Maintenance key process area). The capability of the acquisition organization's standard software acquisition process is indicative of the performance that can be expected from the next software acquisition project it undertakes. These capability data are, in turn, used by the software acquisition project teams to set their performance objectives and to analyze the performance of their defined processes. The capability data are also used by the project teams in tailoring the acquisition organization's standard software acquisition process to a particular acquisition.



**The goals for Quantitative Process Management are:**

1. The performance of each project's defined software acquisition process is quantitatively controlled.
2. The performance of the acquisition organization's standard software acquisition process is described in quantitative terms.

**The top-level activities performed for Quantitative Process Management are:**

1. The acquisition organization's software acquisition process capability baseline is established and maintained according to a written procedure.
2. Each project team performs its activities in accordance with its documented quantitative process management plans.
3. The measurement data used to quantitatively control the project's defined software acquisition process are collected in accordance with the project's quantitative process management plans.
4. Each project's defined software acquisition process is analyzed and quantitatively controlled according to the project's quantitative process management plans.
5. Reports documenting the results of the project team's quantitative process management activities are prepared and distributed.
6. Causal analysis of each project's defined software acquisition process is conducted on a periodic basis to determine root causes of variances from the project's plans.

## **Level 4: Quantitative Acquisition Management**

The purpose of Quantitative Acquisition Management is to manage the contractual effort through the application of quantitative methods.

Quantitative Acquisition Management involves utilizing process and product measurements as an intrinsic part of management review and oversight to quantitatively manage the acquisition of software products and services.

As the acquisition organization continues to attain higher levels of maturity there is a transition to quantitative methods. This transition is marked by the involvement of all levels of acquisition management. The result represents an advance from contract performance management to acquisition management using quantitative methods. Another result of this transition is an expected increase in the quality of acquired products and services.

The quantitative acquisition management process is integrated with quantitative process management. The actions of quantitative process management at the project level and across the acquisition organization are integral to acquisition management.

**The goals for Quantitative Acquisition Management are:**

1. Quantitative objectives for the acquired products and services are defined.
2. The contracted effort is managed quantitatively.

**The top-level activities performed for Quantitative Acquisition Management are:**

1. Each project team performs its activities in accordance with its documented quantitative acquisition management plans.
2. The acquisition organization utilizes quantitative measures as a normal part of management review and oversight of acquired products and services.
3. The quantitative objectives for each project's software products and services are defined.
4. The quantitative objectives for each project's products and services are incorporated into the solicitation package and resulting contract according to the project's defined software acquisition process.
5. Each project's acquired software products and services are measured, analyzed, and compared to the project's established quantitative objectives.
6. Causal analysis of each project's acquired products and services is conducted on a periodic basis to determine root causes of variances from the project's plans.
7. Changes are implemented to correct project acquired products and services that are out of expected or acceptable bounds.

## **Level 5: Continuous Process Improvement**

The purpose of Continuous Process Improvement is to evolve the software acquisition processes used in the acquisition organization through managed continuous process improvement. Quantitative objectives for the acquisition organization's standard software acquisition process and the projects' defined software acquisition processes are the targets of the improvement activity.

Continuous Process Improvement involves defining quantitative process improvement objectives with the involvement and sponsorship of acquisition organization management. It is a continuous effort to proactively and systematically identify, appraise, and implement improvements to the acquisition organization's standard software acquisition process and the projects' defined software acquisition processes.

The commitment to continuous process improvement is acquisition organization-wide. Training and incentive programs are established to encourage and enable all acquisition organization personnel to participate in the software acquisition continuous process improvement activities. Improvement opportunities are identified and appraised in terms of how well they move the acquisition organization and its projects toward software acquisition continuous process improvement objectives.

When software acquisition process improvements are approved for normal practice, the acquisition organization's standard software acquisition process and the projects' defined software acquisition processes are revised. The Process Definition and Maintenance key process area defines the actions for changing the acquisition organization's standard software acquisition process. The Project Performance Management key process area defines the actions for changing the projects' defined software acquisition processes.

The Acquisition Innovation Management key process area defines the actions for adopting and transforming new techniques and technologies into the acquisition organization.

**The goals for Continuous Process Improvement are:**

1. Participation in continuous process improvement activities is acquisition organization-wide.
2. The acquisition organization's standard software acquisition process and the projects' defined software acquisition processes are improved continuously.

**The top-level activities performed for Continuous Process Improvement are:**

1. The acquisition organization performs its activities in accordance with its documented continuous process improvement plans.
2. The software acquisition process group coordinates process improvement activities.
3. Process improvement proposals are handled according to a written procedure.
4. Process improvements are transferred into practice according to a written procedure.
5. Records of process improvement activities are maintained in the acquisition organization's repository for software acquisition process information.

## **Level 5: Acquisition Innovation Management**

The purpose of Acquisition Innovation Management is to continually improve the acquisition process through the adoption and transfer of new techniques and technologies. Acquisition innovation management is a primary responsibility of the acquisition organization; however, the adoption activity is carried out through individual acquisition projects. While the project can act by itself, the environment for adoption should be fostered and led by the acquisition organization.

Acquisition Innovation Management involves the identification, appraisal, implementation, adoption, and transfer of new techniques and technologies that support the software acquisition process. Techniques and technologies include methodologies, tools, and practices.

The focus is on improving the acquisition process through the adoption and implementation of new techniques and technologies. Adoption of new techniques and technologies is accomplished in concert with continuous process improvement (refer to the Continuous Process Improvement key process area).

Acquisition innovation management of new techniques and technologies encompasses a range of possibilities. These techniques and technologies are those which are new on the horizon or are new to the acquisition organization and have promise of providing a better and advanced acquisition process. They may range from introduction of a new technique to the project (such as automated documentation) to adoption of a new management strategy (e.g., product line) at the acquisition organization level. The acquisition organization and the project act in cooperation to implement new techniques and technologies that may provide a specific benefit to the project, as well as an overall benefit to the organization.

**The goals of Acquisition Innovation Management are:**

1. The acquisition organization improves the software acquisition process through the adoption and implementation of new techniques and technologies in a proactive, normative manner.
2. Participation in the acquisition innovation management process is organization-wide.

**The top-level activities performed for Acquisition Innovation Management are:**

1. The acquisition organization performs its activities in accordance with its documented acquisition innovation management plans.
2. The group responsible for conducting acquisition innovation management activities conducts routine and periodic appraisals of new techniques and technologies as candidates for inclusion in the acquisition organization's standard software acquisition process.
3. The project team performs its activities in accordance with its documented acquisition innovation management plans.
4. The acquisition organization works with the projects to foster an environment which facilitates adoption of initiatives beneficial to the acquisition organization.
5. Software acquisition management personnel are kept informed of new technologies.

This page intentionally left blank.



## Change Request - Software Acquisition Capability Maturity Model

---

Product: SA-CMM v1.0

SEI Assigned Tracking Number: \_\_\_\_\_

---

Name of Submitting Organization: \_\_\_\_\_

Organization Contact: \_\_\_\_\_ Telephone: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

---

Date: \_\_\_\_\_ Short Title: \_\_\_\_\_

Change Location: \_\_\_\_\_  
(identify page number, paragraph, key process area, common feature, etc.)

Proposed Change:

Rationale for Change:

---

Note: For the SEI to take appropriate action on a change request, we must have a clear description of the recommended change, along with a supporting rationale.

Send US mail to: SA-CMM Change Requests, Risk Program and Acquisition Risk Management Initiative, Software Engineering Institute, Carnegie Mellon University, Pittsburgh, PA 15213-3890

Send packages to: SA-CMM Change Requests, Risk Program and Acquisition Risk Management Initiative, Software Engineering Institute, Carnegie Mellon University, 4500 Fifth Avenue, Pittsburgh, PA 15213-2691

Send via Internet to: [samm@sei.cmu.edu](mailto:samm@sei.cmu.edu)

## REPORT DOCUMENTATION PAGE

1a. REPORT SECURITY CLASSIFICATION Unclassified		1b. RESTRICTIVE MARKINGS None	
2a. SECURITY CLASSIFICATION AUTHORITY N/A		3. DISTRIBUTION/AVAILABILITY OF REPORT Approved for Public Release Distribution Unlimited	
2b. DECLASSIFICATION/DOWNGRADING SCHEDULE N/A			
4. PERFORMING ORGANIZATION REPORT NUMBER(S) CMU/SEI-96-TR-020		5. MONITORING ORGANIZATION REPORT NUMBER(S) ESC-TR-96-020	
6a. NAME OF PERFORMING ORGANIZATION Software Engineering Institute	6b. OFFICE SYMBOL (if applicable) SEI	7a. NAME OF MONITORING ORGANIZATION SEI Joint Program Office	
6c. ADDRESS (city, state, and zip code) Carnegie Mellon University Pittsburgh PA 15213		7b. ADDRESS (city, state, and zip code) HQ ESC/AXS 5 Eglin Street Hanscom AFB, MA 01731-2116	
8a. NAME OF FUNDING/SPONSORING ORGANIZATION SEI Joint Program Office	8b. OFFICE SYMBOL (if applicable) ESC/AXS	9. PROCUREMENT INSTRUMENT IDENTIFICATION NUMBER F19628-95-C-0003	
8c. ADDRESS (city, state, and zip code) Carnegie Mellon University Pittsburgh PA 15213		10. SOURCE OF FUNDING NOS.	
		PROGRAM ELEMENT NO 63756E	PROJECT NO. N/A
		TASK NO. N/A	WORK UNIT NO. N/A
11. TITLE (Include Security Classification) Software Acquisition Capability Maturity Model (SA-CMM) Version 1.01			
12. PERSONAL AUTHOR(S) Jack Ferguson, et al.			
13a. TYPE OF REPORT Final	13b. TIME COVERED FROM TO	14. DATE OF REPORT (year, month, day) December 1996	15. PAGE COUNT 162 pp.
16. SUPPLEMENTARY NOTATION			
17. COSATI CODES		18. SUBJECT TERMS (continue on reverse of necessary and identify by block number)	
FIELD	GROUP	SUB. GR.	
		capability maturity models	
		process improvement	
		software acquisition	
19. ABSTRACT (continue on reverse if necessary and identify by block number)			
<p>Government and industry have the need to assess the maturity of their internal software acquisition processes. The purpose of assessing the maturity of organizations' software processes is to identify areas needing improvement. In order for organizations to make improvements, they must know the ultimate goal and what is required to achieve that goal. Additionally, progress toward achieving the goal must be measurable. A capability maturity model provides a framework needed to facilitate the desired improvement. The Software Acquisition Capability Maturity Model (SA-CMM) has been developed to provide such a framework</p>			
20. DISTRIBUTION/AVAILABILITY OF ABSTRACT UNCLASSIFIED/UNLIMITED <input type="checkbox"/> SAME AS RPT <input checked="" type="checkbox"/> DTIC USERS <input type="checkbox"/>		21. ABSTRACT SECURITY CLASSIFICATION Unclassified, Unlimited Distribution	
22a. NAME OF RESPONSIBLE INDIVIDUAL Thomas R. Miller, Lt Col, USAF		22b. TELEPHONE NUMBER (incl. area code) (412) 268-7631	22c. OFFICE SYMBOL ESC/AXS (SEI)